



# CIVILIAN HUMAN CAPITAL ACCOUNTABILITY SYSTEM (CHCAS)

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PRESENTED BY:

**ACCOUNTABILITY AND EVALUATION DIVISION**

# MENU

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# CHAPTER 1

## Acting Director's Message

### ACTING DIRECTOR'S MESSAGE

#### Acting Director's Message

**CPMS** supports the Under Secretary of Defense (Personnel and Readiness) and the Deputy Under Secretary of Defense (Civilian Personnel Policy) in planning and formulating civilian personnel programs, providing policy support, functional information management and Department-wide civilian personnel administration services for the Military Departments and Defense agencies. Established in 1993, CPMS was created out of the consolidation of a number of common personnel management functions previously performed by each of the Defense Components through their own separate field agencies or headquarters staffs. There are 13 divisions in CPMS, each with its own programmatic or internal service responsibilities, including policy advisory services and support, leadership development, HR information systems technology and solutions, compensation management (wage and salary surveys), EEO complaints investigations and resolution, civilian recruitment assistance, human capital accountability, injury and unemployment compensation program management, and nonappropriated fund personnel policy support.

CPMS delivers enterprise-wide knowledge management support and HR solutions with the goal of ensuring that the civilian workforce is ready and capable of supporting the Department's national security mission.

Thank you for visiting our website.

Sharon Stewart  
Acting Director, Civilian Personnel Management Service



Knowledge. Solutions. Service.



HOME

5



www.cpms.osd.mil

# CHAPTER 2

“Did you know?”

## DID YOU KNOW?

### DID YOU KNOW?

- The four overarching recommendations for the “new” Presidential administration from the 2008 survey of Federal Human Capital Officers (*Source: Partnership for Public Service*)
- 1. Make **people** issues a presidential priority
- 2. Create **21st** century **systems** to support a **21st** century **workforce**
- 3. Improve our federal workforce by investing in the **Human Resources** workforce
- 4. Don’t automatically hit the *reset* button on previous workforce **reform** efforts



# CHAPTER 2

## “Did You Know?”

### DID YOU KNOW?

#### CIVILIAN HUMAN CAPITAL STRATEGIC PLAN

##### GOAL 1: World Class Enterprise Leaders

The Department of Defense Instruction (DoDI) 1430.16, Growing Civilian Leaders, was drafted to institutionalize the competency framework and continuum as official DoD policy.

The Defense Senior Leader Development Program (DSLDP) was established to identify and build skill in competency gaps. The inaugural DSLDP class has 36 participants.

##### Goal 2: Mission-Ready Workforce

Based on assessment findings and emerging enterprise-level priorities, DoD refreshed the Mission Critical Occupations Listing and added four new series including Safety and Occupational Health, Fire Safety, Psychologist, and Social Worker. There are 27 MCOs.

In Jan 09, OUSD (P&R) reissued DoD Directive (DoDD) 1404.10 under the title of DoD Civilian Expeditionary Workforce (CEW), to establish policy through which an appropriately sized subset of the DoD civilian workforce is pre-identified, organized, trained, and equipped to facilitate the use of their capabilities for operational mission requirements.

##### GOAL 3: Results-Oriented Performance Culture

DoD had 144 instances of Strategic Compensation training with the following achievements to date:

- 36 new Advisory compensation Analysts
- 25 new Strategic Business Partners
- 23 new Certified Compensation Professionals

##### GOAL 4: Enterprise HR Support

DoD formed a Hiring Reform SWAT Team comprised of component representatives from DoD functional communities and the DoD HR community. In FY 09, DoD mapped its hiring process to the End-to-End (E2E) model to 155 days. FY 2010 target of 140 days. DoD's target is 80 days.




# CHAPTER 3

## DoD Mission Critical Occupations

### DoD OCCUPATIONS

Occupational Series	Title	Occupational Series	Title
0018	Safety and Occupational Health	0610	Nurse
0080	Security Administration	0660	Pharmacist
0081	Fire Safety	0801	General Engineer
0083	Police	0810	Civil Engineer
0132	Intelligence	0854	Computer Engineer
0180	Psychologist	0855	Electronics Engineer
0185	Social Worker	1040	Language Specialist
0201	Human Resources Specialist	1102	Contract Specialist
0346	Logistics Management	1301	General Physical Science
0501	Financial Administration	1520	Mathematics
0510	Accountant	1550	Computer Science
0511	Auditor	1910	Quality Assurance
0560	Budget Analyst	2210	Information Technology Management
* 0602	Medical Officer		

\* **CLICK ON AN OCCUPATION TO VIEW**

 = MCOs added in FY 09 during the MCO refresh effort  
 = MCOs tracked under the End-to-End (E2E) hiring initiative  
 = Government wide MCOs (designated by OPM)



# CHAPTER 3

## DoD Mission Critical Occupations

### DoD OCCUPATIONS: ENGINEERING

**Engineering:** Employment of engineers is expected to grow about as fast as the average for all occupations over the next decade, but growth will vary by specialty. Environmental engineers should experience the fastest growth, while civil engineers should see the employment increase. Overall job opportunities in engineering are expected to be good.

**Overall employment change** - Overall engineering employment is expected to grow by 11% over the 2006 - 16 decade, about as fast as the average for all occupations. Engineers have traditionally been concentrated in slower growing or declining manufacturing industries, in which they will continue to be needed to design, build, test, and improve manufactured products. However, increasing employment of engineers in faster growing service industries should generate most of the employment growth. Job outlook varies by engineering specialty, as discussed later.

Employment of computer software engineers is projected to increase by 38% over the 2006 to 2016 period, which is much faster than the average for all occupations. This occupation will generate about 324,000 new jobs, over the projections decade, one of the largest employment increases of any occupation.

[TO THE OCCUPATION MENU](#)

# CHAPTER 3

## DoD Mission Critical Occupations

### DoD OCCUPATIONS: ENGINEERING

**Civil engineers** are expected to experience 18% employment growth during the projections decade, faster than the average for all occupations. Spurred by general populations growth and the related need to improve the Nation's infrastructure, more civil engineers will be needed to design and construct or expand transportation, water supply and pollution control system and buildings and building complexes. They also will be needed to repair or replace existing roads, bridges, and other public structures. Because construction industries and architectural, engineering and related services employ many civil engineers, employment opportunities will vary by geographic area and may decrease during economic slowdowns, when construction is often curtailed.

**Electronics engineers, except computer** are expected to have employment growth of 4% during the projections decade, slower than the average for all occupations. Although rising demand for electronic goods – including communications equipment, defense-related equipment, medical electronics, and consumer products – should continue to increase demand for electronics engineers, foreign competition in electronic products development and the use of engineering services performed in other countries will limit employment growth. Growth is expected to be fastest in service – providing industries – particularly in firms that provide engineering and design services.

**TO THE OCCUPATION MENU**



# CHAPTER 3

## DoD Mission Critical Occupations

### DoD OCCUPATIONS: ENGINEERING

**Computer Software Engineers:** Job prospects should be excellent, as computer software engineers are expected to be among the fastest-growing occupations through the year 2016.

**Mathematicians** are expected to have Employment of mathematicians to grow as fast as the average. However, keen competition for jobs is expected.

**Employment change** – Employment of mathematicians is expected to increase by 10% during the 2006-16 decade, as fast as the average for all occupations. Advancements in technology usually lead to expanding applications of mathematics, and more workers with knowledge of mathematics will be required in the future. However, jobs in industry and government often require advanced knowledge of related scientific disciplines in addition to mathematics. The most common fields in which mathematicians study and find work are computer science and software development, physics, engineering, and operations research. More mathematicians also are becoming involved in financial analysis.



[TO THE OCCUPATION MENU](#)

# CHAPTER 3

## DoD Mission Critical Occupations

### DoD OCCUPATIONS: HUMAN RESOURCES

#### Human Resources Management

**Human Resources:** Employment of human resources, training, and labor relations managers and specialists is expected to grow faster than the average for all occupations. College graduates who have earned certification should have the best job opportunities.

**Employment change** – Overall employment is projected to grow by 17% between 2006 and 2016, faster than the average for all occupations. Legislations and court rulings setting standards in various areas – occupations safety and health, equal employment opportunity, wages, health care, pensions, and family leave, among others - will increase demand for human resources, training and labor relations experts. Rising health care costs should continue to spur demand for specialists to develop creative compensation and benefits packages that firms can offer prospective employees.



[TO THE OCCUPATION MENU](#)



# CHAPTER 3

## DoD Mission Critical Occupations

### DoD OCCUPATIONS: FINANCIAL MANAGEMENT

#### Financial Management

**Budget Analysts:** Budget analyst jobs are expected to increase about as fast as the average, and job prospects should generally be good, especially for applicants with a master's degree.

**Employment change** - Employment of budget analysts is expected to increase by 7% between 2006 and 2016, which is about as fast as the average for all occupations. Employment growth will be driven by the continuing demand for sound financial analysis in both the public and the private sectors. As businesses and other organizations become more complex and specialized, budget planning and financial control will demand greater attention. In recent years, computer applications used in budget analysis have become increasingly sophisticated, allowing more data to be processed in a shorter time. As a result, budget analysts have seen their workload broadened, and they are expected to produce more than



[TO THE OCCUPATION MENU](#)

# CHAPTER 3

## DoD Mission Critical Occupations

### DoD OCCUPATIONS: FINANCIAL MANAGEMENT

**Accountants:** Strong growth of accountants and auditor jobs over the 2006-16 decade is expected to result from stricter accounting and auditing regulations, along with an expanding economy. The best job prospects will be for accountants and auditors who have a college degree or any certification, but especially a CPA.

**Employment change** – Employment of accountants and auditors is expected to grow by 18% between 2006 and 2016, which is faster than the average for all occupations. This occupation will have a very large number of new jobs arise, almost 226,000 over the projections decade. An increase in the number of businesses, changing financial laws, and corporate governance regulations, and increased accountability for protecting an organization's stakeholders will drive growth.



[TO THE OCCUPATION MENU](#)

# CHAPTER 3

## DoD Mission Critical Occupations

### DoD OCCUPATIONS: MEDICAL

#### Medical

**Physicians:** Employment of physicians and surgeons is expected to grow faster than the average for all occupations. Job opportunities should be very good, especially for physicians and surgeons willing to practice in specialties – including family practice, internal medicine and OB/GYN – or in rural and low-income areas where there is a perceived shortage of medical practitioners.

**Employment change** – Employment of physicians and surgeons is projected to grow 14% from 2006 to 2016, faster than the average for all occupations. Job growth will occur because of continued expansion of health care related industries. The growing and aging population will drive overall growth in the demand for physician services, as consumers continue to demand high levels of care using the latest technologies, diagnostic tests, and therapies.

Demand for physicians' services is highly sensitive to changes in consumer preferences, health care reimbursement policies, and legislation. For example, if changes to health coverage result in consumers facing higher out-of-pocket costs, they may demand fewer physician services. Patients relying more on other health care providers – such as physician assistants, nurse practitioners, optometrists, and nurse anesthetists – also may temper demand for physician services. In addition, new technologies will increase physician productivity. These technologies include electronic medical records, [test and prescription orders](#), billing, and scheduling.

[TO THE OCCUPATION MENU](#)

# CHAPTER 3

## DoD Mission Critical Occupations

### DoD OCCUPATIONS: MEDICAL

**Nurses:** Overall job opportunities for registered nurses are expected to be excellent, but may vary by employment and geographic setting. Employment of RNs is expected to grow much faster than the average for all occupations through 2016 and because the occupation is very large, many new jobs will result. In fact, registered nurses are projected to generate 587,000 new jobs, among the largest number of new jobs for any occupation. Additionally, hundreds of thousands of job openings will result from the need to replace experienced nurses who leave the occupation.

**Employment change** – Employment of registered nurses is expected to grow 23% from 2006 to 2016, much faster than the average for all occupations. Growth will be driven by technological advances in patient care, which permit a greater number of health problems to be treated, and by an increasing emphasis on preventive care. In addition, the number of older people, who are much more likely than younger people to need nursing care, is projected to grow rapidly.



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# CHAPTER 3

## DoD Mission Critical Occupations

### DoD OCCUPATIONS: MEDICAL

**Pharmacists:** Employment is expected to increase much faster than the average through 2016. As a result of rapid growth and the need to replace workers who leave the occupation, job prospects should be excellent.

**Employment change** - Employment of pharmacists is expected to grow by 22% between 2006 and 2016, which is much faster than the average for all occupations. The increasing numbers of middle-aged and elderly people-who use more prescription drugs than younger people-will continue to spur demand for pharmacists throughout the projection period. Other factors likely to increase the demand for pharmacists include scientific advances that will make more drug products available and the coverage of prescription drugs by a greater number of health insurance plans and Medicare.



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# CHAPTER 3

## DoD Mission Critical Occupations

### DoD OCCUPATIONS: MEDICAL

**Social Workers:** Employment for social workers is expected to grow much faster than the average for all occupations through 2016. Job prospects are expected to be favorable, particularly for social workers who specialize in the aging population or work in rural areas.

**Employment change** – Employment of social workers is expected to increase by 22 percent during the 2006-16 decade, which is much faster than the average for all occupations. The growing elderly population and the aging baby boom generation will create greater demand for health and social services, resulting in rapid job growth among gerontology social workers. Employment levels in public and private social services agencies may fluctuate, depending on need and government funding levels. Mental health and substance abuse social workers will grow by 30 percent, which is much faster than the average, over the 2006-16 decade. Growth of medical and public health social workers is expected to be 24 percent, which is much faster than the average for all occupations.



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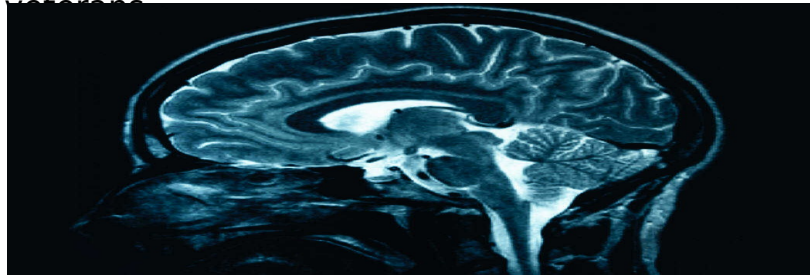
# CHAPTER 3

## DoD Mission Critical Occupations

### DoD OCCUPATIONS: MEDICAL

**Psychologists:** Faster-than-average employment growth is expected for psychologists. Job prospects should be the best for people who have a doctoral degree from a leading university in an applied specialty, such as counseling or health, and those with a specialist or doctoral degree in school psychology. Master's degree holders in fields other than industrial-organizational psychology will face keen competition. Opportunities will be limited for bachelor's degree holders.

**Employment change** – Employment of psychologists is expected to grow 15 percent from 2006 to 2016 , faster than the average for all occupations. Employment will grow because of increased demand for psychological services in schools, hospitals, social service agencies, mental health centers, substance abuse treatment clinics, consulting firms, and private companies. There also will be increased need for psychologists to work with returning



[TO THE OCCUPATION MENU](#)



# CHAPTER 4

## DoD Memorandums and Policies

DATE	DoD Memorandums and Policy	STRATEGIC ALIGNMENT	LEADERSHIP & KNOWLEDGE MANAGEMENT	RESULTS-ORIENTED PERFORMANCE	TALENT MANAGEMENT	ACCOUNTABILITY	CHCSP GOAL 2006 - 2010
Jun 4, 2009	DoD Civilian Support to Global Expeditionary Requirements	X					2
May 13, 2009	Military Spouse Preference coding in Defense Civilian Personnel Data System (DCPDS)				X	X	2
Apr 07, 2009	Increased Annual Premium Pay Limitation			X			3
Dec 23, 2008	Implementation of Expedited Hiring Authority for Acquisition Positions IAW Subsection 1705(h) of Title 10 U.S.C.				X		2
Nov 18, 2008	DoD Civilian Personnel Management System: Volume 250, Civilian Strategic Human Capital Planning (SHCP); <i>Number 1400.25, Volume 250</i>	X					2
Oct 14, 2008	USD(P&R) Memo, Redelegation of Authority under Section 8079 of the Department of Defense Appropriations Act for Fiscal Year 2009 for certain healthcare professionals				X		2
Sep 22, 2008	USD(P&R) Memo, Opportunities for Department of Defense Civilians to Serve in Global Expeditionary Positions				X		2
Aug 27, 2008	USD(P&R) Memo, Clarification to Policy Memo, Earnings, Allowance, and Gratuities for DoD Civilian Employees under the Earnings Supplemental Appropriations Act of 2008, 9-234, and the GWOT, and				X	2	



# CHAPTER 4

## DoD Memorandums and Policies

DATE	DoD Memorandums and Policy	STRATEGIC ALIGNMENT	LEADERSHIP & KNOWLEDGE MANAGEMENT	RESULTS-ORIENTED PERFORMANCE	TALENT MANAGEMENT	ACCOUNTABILITY	CHCSP GOAL 2006 - 2010
May 30, 2008	Department of Defense (DoD) Civilian Leader Development Framework and Continuum		X			1	
Apr 07, 2008	USD(P&R) Memo, Foreign Language Proficiency Pay for Civilian Employees	X					2
Mar 30, 2008	CPMS Memo, Suspension of Outstanding Scholar Appointing Authority				X		2
Feb 12, 2008	USD(P&R) Memo, Building Increased Civilian Deployment Capacity				X		2
Feb 05, 2008	USD(P&R) Memo, Implementation of Enhanced Retention Incentives				X		2
Jan 22, 2008	CPMS Memo, Implementation of the Employment Eligibility Verification (E-Verify) Program				X		2
Nov 16, 2007	USD(P&R) Memo, Re-Delegation of Authority Under Secretary of Defense Appropriations Act for FY 2008		X				1
Oct 29, 2007	DSD(P&R) Memo, Documenting and Reporting Civilian Requirements				X		2
Sep 12, 2007	USD(P&R) Memo, Employment of Highly Qualified Experts Addendum				X		2

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# CHAPTER 4

## DoD Memorandums and Policies

DATE	DoD Memorandums and Policy	STRATEGIC ALIGNMENT	LEADERSHIP & KNOWLEDGE MANAGEMENT	RESULTS-ORIENTED PERFORMANCE	TALENT MANAGEMENT	ACCOUNTABILITY	CHCSP GOAL 2006 - 2010
Aug 15, 2007	USD(P&R) Memo, Evacuation Payments During A Pandemic Health Crisis	X					2
Jun 28, 2007	DSD(P&R) Memo, Base Realignment and closure Support	X					2
Jun 01, 2007	CPMS Memo, Considerations Under the Veterans Employment Opportunities Act of 1998 (VEOA)				X		2
Mar 13, 2007	USD(P&R) Memo, Provisional Reconstruction Team (PRT) Initiative				X		2
Jan 23, 2007	DUSD(P&R) Memo, Hiring Graduates of the National Security Education Program				X		2
Dec 19, 2006	CPMS Memo, Annual Leave Accrual for those Appointed While on Military Terminal Leave				X		2
Sep 21, 2006	USD(P&R) Memo, Implementation of Recruitment, Relocation, and Retention Incentives				X		2
May 04, 2006	USD(P&R) Memo, Credit for Non-Federal and Uniformed Determining Annual Leave Accrual Rate				X		2
May 02, 2006	USD(P&R) Memo, Competitive Examining Authority Under the National Security Personnel System (NSPS)				X		3

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# CHAPTER 5

## OPM HR & HC Memorandums Human Capital Assessment and Accountability System

DATE	OPM Memorandums and Policy	STRATEGIC ALIGNMENT	LEADERSHIP & KNOWLEDGE MANAGEMENT	RESULTS-ORIENTED PERFORMANCE	TALENT MANAGEMENT	ACCOUNTABILITY
Nov 09, 2009	Executive Order – Employment of Veterans in the Federal Government	X			X	X
Aug 31, 2009	Responsibilities of Human Resources Shared Service Providers and Federal Agency Customers in Delegated Examining					X
Aug 26, 2009	Change in maximum entry-age requirements for Veterans' Preference Eligibles				X	
Jul 07, 2009	Official Documents					X
May 28, 2009	Effective Use of Recruitment, Relocation, and Retention Incentives				X	
Apr 03, 2009	Non-reduction in Pay for Certain Federal Civilian Employees on Active Duty in the Uniformed Services or National Guard				X	
Mar 16, 2009	Rehiring Annuitants in Support of the American Recovery & Reinvestment Act (ARRA) of 2009				X	



# CHAPTER 5

## OPM HR & HC Memorandums

### Human Capital Assessment and Accountability System

DATE	OPM Memorandums and Policy	STRATEGIC ALIGNMENT	LEADERSHIP & KNOWLEDGE MANAGEMENT	RESULTS-ORIENTED PERFORMANCE	TALENT MANAGEMENT	ACCOUNTABILITY
Mar 12, 2009	ARRA of 2009 Schedule A Hiring Authority				X	
Oct 23, 2008	HCLMSA Memo, Career Patterns FY 2009		X			
Oct 17, 2008	OPM's Leadership Education and Development (LEAD) Certificate Program				X	
Sep 10, 2008	SHRP Memo, Structured Interview Guide				X	
Aug 29, 2008	Acting Director, End-to-End Hiring Roadmap				X	
Aug 21, 2008	SHRP Memo, Revision of Standard Form 15, Application for 10-Point Veteran Preference				X	
Aug 21, 2008	SHRP Memo, Leadership Competency Proficiency Level Illustrations		X			
Aug 13, 2008	Director Memo, Fact Sheet on Certification and Certificate Programs			X		

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# CHAPTER 5

## OPM HR & HC Memorandums

### Human Capital Assessment and Accountability System

DATE	OPM Memorandums and Policy	STRATEGIC ALIGNMENT	LEADERSHIP & KNOWLEDGE MANAGEMENT	RESULTS-ORIENTED PERFORMANCE	TALENT MANAGEMENT	ACCOUNTABILITY
Jul 29, 2008	Director Memo, Priority Occupations for Future Competency Model Development				X	
Jul 21, 2008	SHRP Memo, Applying Veterans' Preference for Applicants on Active Military Duty				X	
Jul 17, 2008	SHRP Memo, Renamed Occupational Series (0140, 0142)				X	
Jul 07, 2008	Human Capital Flexibilities to Reduce Fuel Consumption	X				
Jun 17, 2008	Director Memo, Template Vacancy Announcement				X	
Jun 10, 2008	Director Memo, Consistent Compensation for Federal Civilians in Combat Zones				X	
Jun 07, 2008	Director Memo, Presidential Transition Guide		X			
May 29, 2008	HCLMSA Memo, Accountability Community of Practice Forum				X	

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# CHAPTER 5

## OPM HR & HC Memorandums Human Capital Assessment and Accountability System

DATE	OPM Memorandums and Policy	STRATEGIC ALIGNMENT	LEADERSHIP & KNOWLEDGE MANAGEMENT	RESULTS-ORIENTED PERFORMANCE	TALENT MANAGEMENT	ACCOUNTABILITY
May 20, 2008	OPM Urges Congress To Enact Measure To Rehire Annuitants To Mentor New Hires				X	
May 20, 2008	OPM Releases Report on the Use of Hiring Flexibilities				X	
May 19, 2008	OPM: Report Shows Increase in Student Loan Repayments by Federal Government				X	
Apr 21, 2008	Director Memo, Revised and Improved Interagency Telework Website				X	
Mar 11, 2008	Director Memo, Federal Agency Participation in The National President's Challenge	X				
Jan 29, 2008	OPM Issues Status Report on Performance-Based Pay Systems in the Federal Government			X		

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# CHAPTER 6

## Merit System Principles

### MERIT SYSTEM PRINCIPLES

Adapted from § 2301 (b) of title 5 U.S.C.

1. Recruit, select, and advance on merit after fair and open competition
2. Treat employees and applicants fairly and equitably
3. Provide equal pay for equal work and reward excellent performance
4. Maintain high standards of integrity, conduct, and concern for the public in
5. Manage employees efficiently and effectively
6. Retain or separate employees on the basis of their performance
7. Educate and train employees if it will result in better organizational or individual performance
8. Protect employees from improper political influence
9. Protect employees against reprisal for the lawful disclosure of information in “whistleblower” situations



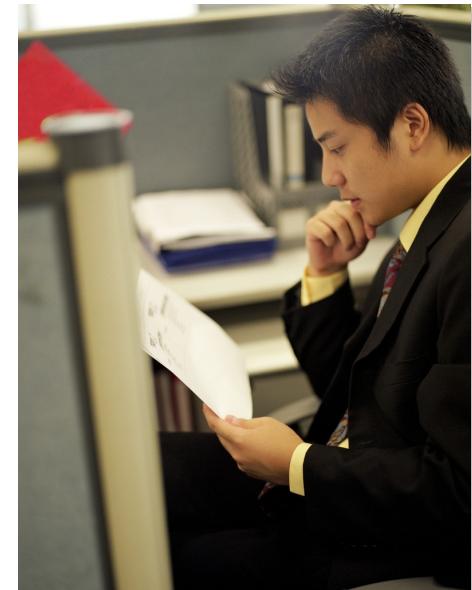
# CHAPTER 7

## Prohibited Personnel Practices

### PROHIBITED PERSONNEL PRACTICES

Adapted from § 2302 (b) of title 5 U.S.C.

1. Illegally discriminate for or against any employee/applicant
2. Solicit or consider improper employment recommendations
3. Coerce an employee's political activity
4. Obstruct a person's right to compete for employment
5. Influence any person to withdraw from competition for a position
6. Give unauthorized preference or improper advantage
7. Employ or promote a relative
8. Retaliate against a whistleblower, whether an employee or applicant
9. Retaliate against employees or applicant for filing an appeal
10. Unlawfully discriminate for off duty conduct
11. Violate any law, rule, or regulation which implements or directly concerns the merit principles
12. Knowingly violate veterans' preference requirements





# CHAPTER 8

## Civilian Human Capital Accountability System Fact Sheets

### STRATEGIC ALIGNMENT

OPM defines **Strategic Alignment (Planning and Goal Setting)** as a system led by senior management – typically the Chief Human Capital Officer (CHCO) – that promotes the alignment of human capital management strategies with agency mission, goals, and objectives through analysis, planning, investment, measurement, and management of human capital programs.

Agencies are required under 5 CFR 250.203 to maintain a current human capital plan described by this system.

#### Did You Know

- The Under Secretary of Defense for Personnel & Readiness (USD)(P&R) is the Chief Human Capital Officer (CHCO)
- The Deputy Under Secretary of Defense for Civilian Personnel Policy (DUSD)(CPP) is the Deputy CHCO and provides leadership and guidance for the CHCAS
- The Civilian Personnel Management Service, Accountability & Evaluation Division, (AED), is responsible for the development and maintenance of the CHCAS – executing accountability activities and methodologies, resources, and reporting requirements
- Strategic plans are tools to be used in setting priorities and allocating resources consistent with these priorities
- Strategic plans provide the overarching framework for an agency's performance budget

# CHAPTER 8

## Civilian Human Capital Accountability System Fact Sheets

### STRATEGIC ALIGNMENT

#### Merit System Principle relevant to Strategic Alignment

- The Federal work force should be used efficiently and effectively. (5 U.S.C. 2301(b)(5))

#### What every strategic HR advisor and management official should know about Human Capital

#### Civilian Human Capital Strategic Plan 2006 - 2010

**GOAL 1: World Class Enterprise Leaders**

**GOAL 2: Mission-Ready Workforce**

**GOAL 3: Results-Oriented Performance**

**GOAL 4: Enterprise-HR Support**

#### Resource Listing

- DoD Civilian Human Capital Accountability System Policy is available at [www.cpmis.osd.mil](http://www.cpmis.osd.mil)
- Key Components of a Strategic Plan:  
[http://www.opm.gov/hcaaf\\_resource\\_center/assets/Sa\\_tool1.pdf](http://www.opm.gov/hcaaf_resource_center/assets/Sa_tool1.pdf)
- Preparing a Strategic Plan:  
[http://www.whitehouse.gov/omb/circulars/a11/current\\_year/s210.pdf](http://www.whitehouse.gov/omb/circulars/a11/current_year/s210.pdf)

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# CHAPTER 8

## Civilian Human Capital Accountability System Fact Sheets

### LEADERSHIP & KNOWLEDGE MANAGEMENT

OPM defines **Leadership and Knowledge Management** as a system that ensures continuity of leadership by identifying and addressing potential gaps in effective leadership and implements and maintains programs that capture organizational knowledge and promote learning.

#### Myths and Realities

**Myth:** The functional manager for a workforce community is accountable for the management of human capital.

**Reality:** The responsibility for human capital management is shared by executives, managers, supervisors, Chief Human Capital Officers (CHCOs), and human capital practitioners, and Functional Community Managers in Federal agencies.

**Myth:** Merit System Principles are only important at time of hire.

**Reality:** The Merit System Principle especially relevant to the **Leadership and Knowledge Management System**: Employees should be provided effective education and training in cases in which such education and training would result in better organizational and individual performance (5 U.S.C. 2301(b)(7)).

# CHAPTER 8

## Civilian Human Capital Accountability System Fact Sheets

### LEADERSHIP & KNOWLEDGE MANAGEMENT

#### **Effective LEADERSHIP and KNOWLEDGE MANAGEMENT**

- Identify leadership competencies
- Identify current & future workforce leadership needs
- Establish leadership development programs
- Effectively communicate and bring about strategic change
- Maintain high standards of honesty & integrity
- Promote teamwork and communicate the organization's vision to all
- Seek feedback from employees
- Promote continuous learning and developmental opportunities to help build mission-critical competencies
- Implement an evaluation process for training & development programs
- Develop a process to share critical knowledge across the organization
- Encourage & reward knowledge sharing



#### **Resource Listing**

##### **HCAAF Website:**

<http://www.opm.gov/HumanCapital/tool/index>

##### **Strategic Management of Human Capital Website:**

<http://www.opm.gov/strategic/strategicmanagementofhumancapital/index.asp>

##### **CPMS Website for Leadership information:**

<http://www.cpms.osd.mil/lpdd>

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# CHAPTER 8

## Civilian Human Capital Accountability System Fact Sheets

### TALENT MANAGEMENT

OPM defines **Talent Management** as a system that addresses competency gaps, particularly in mission-critical occupations, by implementing and maintaining programs to attract, acquire, develop, promote, and retain quality talent

#### Did You Know

- Compensation and future career opportunities are the top drivers of attracting potential talent
- DoD identified 27 civilian Mission Critical Occupations
- CPMS launched a web resource for medical recruiters, providing recruitment policies, best practices, suggested marketing venues and hiring incentives on the CPMS homepage
- Retention and recruitment incentives are just two compensation flexibilities available to Federal agencies to recruit for retain talent

#### Strategies to Close Workforce Gaps

- Targeted Recruitment
- Employee Development
- Competency Training
- Leadership Continuity
- Performance Management
- Succession Planning



# CHAPTER 8

## Civilian Human Capital Accountability System Fact Sheets

### TALENT MANAGEMENT

#### **The TOP 5 Most Important Criteria for Assessing Potential Employers**

- The Opportunity
- The Rewards
- The Work
- The Organization
- The People

#### **Merit System Principles relevant to the Talent Management System**

- Recruitment should be from qualified individuals from appropriate sources in an endeavor to achieve a work force from all segments of society, and selection and advancement should be determined solely on the basis of relative ability, knowledge and skills, and after fair and open competition which assures that all receive equal opportunity (5 U.S.C. 2301(b)(1))
- All employees and applicants for employment should receive fair and equitable treatment in all aspects of personnel management without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for their privacy and constitutional rights (5 U.S.C. 2301(b)(2))

#### **Resource Listing**

##### **HCAAF Website:**

<http://www.opm.gov/Human Capital/tool/index>

##### **CPMS Website:**

<http://www.cpms.osd.mil/expeditionary>

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# CHAPTER 8

## Civilian Human Capital Accountability System Fact Sheets

### RESULTS-ORIENTED PERFORMANCE CULTURE

OPM defines **Results-Oriented Performance Culture** as a system that promotes a diverse, high-performing workforce by implementing and maintaining effective performance management systems and awards programs

#### Merit System Principles relevant to Results-Oriented Performance

- All employees and applicants for employment should receive fair and equitable treatment in all aspects of personnel management without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for their privacy and constitutional rights (5 U.S.C. 2301(b)(2))
- Equal pay should be provided for work of equal value, with appropriate consideration of both national and local rates paid by employers in the private sector, and appropriate incentives and recognition should be provided for excellence in performance (5 U.S.C. 2301(b)(3))
- Employees should be retained on the basis of adequacy of their performance, inadequate performance should be corrected, and employees should be separated who cannot or will not improve their performance to meet required standards (5 U.S.C. 2301(b)(4))

#### 5 Lead Roles for Managers

- Performance & Development Strategist
- Solutions Enabler
- Learning-Experience Architect
- Opportunity Broker
- Honest Appraiser



# CHAPTER 8

## Civilian Human Capital Accountability System Fact Sheets

### RESULTS-ORIENTED PERFORMANCE CULTURE

#### **5 Lead Roles for Managers**

##### **■ Performance & Development Strategist**

- Explain Performance Evaluation Standards
- Create IDP's
- Ensure Knowledge & Skills

##### **■ Solutions Enabler**

- Help employees apply new skills
- Teach new skills or procedure
- Give advice from own experience

##### **■ Learning-Experience Architect**

- Ensure projects are learning experiences
- Provide experiences that develop employees

##### **■ Opportunity Broker**

- Help employees find training
- Pass along job opportunities
- Pass along career development opportunities

##### **■ Honest Appraiser**

- Assess development progress
- Give feedback on personality strengths
- Give feedback on performance strengths and weaknesses



#### **Did You Know**

- **2008 Status of Forces Survey of DoD Civilian Employees** is available at:

[http://www.cpms.osd.mil/HRBITS/HRBITS\\_index.as](http://www.cpms.osd.mil/HRBITS/HRBITS_index.as)

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# CHAPTER 8

## Civilian Human Capital Accountability System Fact Sheets

### ACCOUNTABILITY

OPM defines **Accountability** as a system that contributes to agency performance by monitoring and evaluating the results of its human capital management policies, programs, and activities; by analyzing compliance with merit system principles; and by identifying and monitoring necessary improvements

#### Did You Know

- Data-driven HC decisions are the hallmark of an effective accountability system
- HC decisions are routinely informed by valid, reliable, complete and current data
- Agency leaders use HC data to manage risk and highlight areas before crises develop
- Performance/HC measures distilled to a vital few and are part of strategic planning process
- Workforce profile data, performance goals and measures and risk areas are reflected in workforce planning documents



# CHAPTER 8

## Civilian Human Capital Accountability System Fact Sheets

### ACCOUNTABILITY

The legal, regulatory, and policy references that govern human capital accountability include:

#### **The Law**

Functions of the OPM Director

■ 5 U.S.C. 1103

Delegation of authority for personnel management

■ 5 U.S.C. 1104

The Merit System Principles

■ 5 U.S.C. 2301

Prohibited Personnel Practices

■ 5 U.S.C. 2302

The Human Capital Assessment and Accountability Framework

■ 5 CFR 250



#### **Resource Listing**

**HCAAF Website:**

[http://www.opm.gov/hcaaf\\_resource\\_center/2-2.asp?CFID=2002833&CFTOKEN=22604000](http://www.opm.gov/hcaaf_resource_center/2-2.asp?CFID=2002833&CFTOKEN=22604000)

**CPMS Website:**

<http://www.cpms.osd.mil/aed>

**Strategic Management of Human Capital Website:**

<http://www.leadership.opm.gov/Programs/Policy-and-Initiatives/SHC/Index.aspx>

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# CHAPTER 8

## Civilian Human Capital Accountability System Fact Sheets

### DEVELOPING AN AGENCY ACCOUNTABILITY SYSTEM

**PURPOSE:** Determine the effectiveness, efficiency, and compliance of the agency human capital management system in meeting the agency mission.

**REQUIREMENT:** Establish an agency Human Capital Strategic Plan – containing human capital goals, objectives and investments that link directly to the agency’s Strategic Plan and support the agency’s mission accomplishment.



■ **PLANNING**

■ **IMPLEMENTING**

■ **EVALUATION**

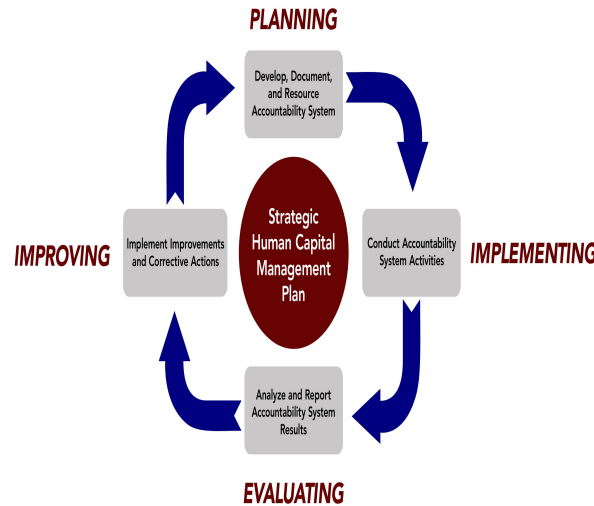
■ **IMPROVING**

# CHAPTER 8

## Civilian Human Capital Accountability System Fact Sheets

### ◆ **EVALUATING**

- ▶ Analyze and support accountability system results
- ▶ Measure progress against the goals and objectives of the agency Human Capital Strategic Plan
- ▶ Compare workforce planning data with results from the accountability activities



### ◆ **IMPLEMENTING**

- ▶ Conduct accountability system activities
- ▶ Conduct Lean Six Sigma or Continuous Improvement events

### ◆ **IMPROVING**

- ▶ Implement improvements and corrective actions
- ▶ Update Human Capital Strategic Plan
- ▶ Update human capital metrics and targets
- ▶ Identify new areas for Lean Six Sigma or Continuous Improvement events

### ◆ **PLANNING**

- ▶ Conduct workforce planning
- ▶ Develop human capital metrics and establish targets
- ▶ Develop feedback surveys
- ▶ Develop periodic formal and informal human resources transactional compliance review processes
- ▶ Identify specific human resources and human capital programs to review and evaluate

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# CHAPTER 9

## Human Capital Management Library Recommendations for Professional Career Development

### RECOMMENDATIONS FOR PROFESSIONAL CAREER DEVELOPMENT

**TITLE:** **WHO MOVED MY CHEESE?**  
**AUTHOR:** Spencer Johnson, M.D.  
**SUMMARY:** The "Cheese Story" is simple and found its way into homes, Companies, schools, churches, the military, and sports teams. "Change Happens" - read how to "enjoy" change and more.

**TITLE:** **A PASSION FOR EXCELLENCE -  
The Leadership**

*Difference*

**AUTHOR:** Tom Peters and Nancy Austin  
**SUMMARY:** Read about "productivity" through people, sponsoring and mentoring, innovation, and more.

**TITLE:** **A COMPLAINT IS A GIFT -  
Using customer  
feedback as a strategic tool**

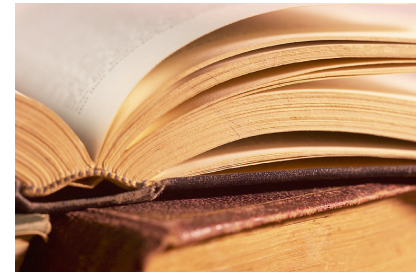
**AUTHOR:** Janelle Barlow and Claus Moller  
**SUMMARY:** Providing consistently good external service is definitely an "inside job." Read about "How to make your organization complaint Friendly" "Creating Complaint-Friendly and Policies."

**TITLE:** **BUSINESS AS UNUSUAL -  
The Handbook for Managing and  
Supervising Organizational Change**  
**AUTHOR:** Price Pritchett & Ron Pound  
**SUMMARY:** Read about "Raising the Bar" and "Encouraging risk-taking and initiative" in a supportive work environment! Also, read how to be a change agent - adapt and "roll with the flow!"

**TITLE:** **COMPETENCY-BASED PERFORMANCE  
IMPROVEMENT**

*A Strategy for Organizational Change*

**AUTHOR:** David D. Dubois, Ph.D  
**SUMMARY:** Read about Competency-Based Performance



# CHAPTER 9

## Human Capital Management Library Recommendations for Professional Career Development

### RECOMMENDATIONS FOR PROFESSIONAL CAREER DEVELOPMENT

**TITLE:** PAN-ORGANIZATIONAL SUMMIT ON  
THE U.S. SCIENCE AND ENGINEERING  
WORKFORCE  
*A Meeting Summary*

**AUTHOR:** National Academy of Sciences,  
National Academy of Engineering, Institute of  
Medicine

**SUMMARY:** Scientific & Engineering research;

[www.nationalacademies.org](http://www.nationalacademies.org)

**TITLE:** 50 TIPS: *How to Design Advanced  
Online Employee Survey Systems*

**AUTHOR:** Sharon Parker, M.A.

**SUMMARY:** This book provides tips for system  
administrators and researchers for  
designing, developing, administering  
web-based employee surveys and ideas  
for using online tools

**TITLE:** MANAGING THROUGH PEOPLE -  
*The Application of the  
Principles of Good Human Relations to  
Effective Management*

**AUTHOR:** Dale Carnegie & Associates, Inc.

**SUMMARY:** Read about new ideas and concepts  
from Dale Carnegie & Associates. A MUST READ  
for Managers!

**TITLE:** THE 7 HIDDEN REASONS EMPLOYEES  
LEAVE -  
*How To Recognize the Subtle Signs  
and Act Before it's Too Late*

**AUTHOR:** Leigh Branham and the Saratoga  
Institute

**SUMMARY:** Perhaps the real question is: *Why* are  
they looking for new jobs in the first  
place? Read how to engage the workforce  
and become the often-quoted "employer of  
choice."

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# CHAPTER 9

## Human Capital Management Library Recommendations for Professional Career Development

### RECOMMENDATIONS FOR PROFESSIONAL CAREER DEVELOPMENT

**TITLE:** **TEAM POWER -**  
*How To Unleash the Collaborative  
Genius of Work Teams*

**AUTHOR:** Thomas A. Kayser

**SUMMARY:** Read about “Building Team  
Power” in four complete, highly-detailed  
steps....learn how decision  
making, consensus building, conflict  
management, data analysis, and  
problem solving are the key components of  
team power-building.

**TITLE:** **THRIVING ON CHAOS**  
*Handbook for a Management  
Revolution*

**AUTHOR:** Tom Peters

**SUMMARY:** Read about what managers must  
do to survive if the organization they  
lead is going to *survive* - chapters include  
Pursuing Fast-Paced Innovation,  
Achieving Flexibility By  
Empowering People, Learning to  
Love Change:  
A New View of Leadership at All  
Levels.....curious? Read it!

**TITLE:** **SERVICE BREAKTHROUGHS**  
*Changing The Rules Of The Game*

**AUTHOR:** James L. Heskett, Earl Sasser, and  
Christopher Hart

**SUMMARY:** Read what Marriott, Citicorp, and  
UPS have in common. See how these  
companies have profound  
differences in thought and action but  
achieved spectacular results. The authors  
describe how breakthrough managers  
develop counterintuitive, even contrarian,  
strategic service visions.

**TITLE:** **PRINCIPLE-CENTERED LEADERSHIP**

**AUTHOR:** Stephen R. Covey

**SUMMARY:** Covey writes about the key to  
managing expectations, the six conditions of  
effectiveness, and the patterns of  
organizational excellence.

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# CHAPTER 9

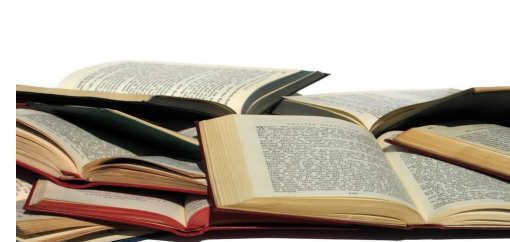
## Human Capital Management Library Recommendations for Professional Career Development

### RECOMMENDATIONS FOR PROFESSIONAL CAREER DEVELOPMENT

**TITLE:** **THOUGHTS ON LEADERSHIP**  
*A Treasury of Quotations*  
**AUTHOR:** William D. Hitt  
**SUMMARY:** Read about the four cognitive skills on the “Wheel of Reasoning” - Creative Thinking, Holistic Thinking, Conceptual Skills, and Logical Thinking. Ponder the age-old question: Are leaders born or made? And more - learn about leadership competencies and reflect on nearly 300 pages of quotations from life’s leaders.

**TITLE:** **THE LEADERSHIP CHALLENGE**  
**AUTHOR:** James Kouzes and Barry Posner  
**SUMMARY:** Kouzes and Posner share stories and their own keen insight into the fundamental aspects of leadership to reflect current challenges, such as the new cynicism, the electronic global village, and the sometimes challenging relationship between employers and employees.

**TITLE:** **MANAGING by MEASURING**  
*How to Improve Your Organization’s Performance Through Effective Benchmarking*  
**AUTHOR:** Mark T. Czarnecki  
**SUMMARY:** Read step-by-step guidelines to improve performance and stay competitive. Learn how to \*Link measurement to corporate strategy & develop a methodology for measurement, \*Measure & analyze the gap between customer expectations and corporate performance, and more.



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# CHAPTER 9

## Human Capital Management Library Recommendations for Professional Career Development

### RECOMMENDATIONS FOR PROFESSIONAL CAREER DEVELOPMENT

**TITLE:** **THE BALANCED SCORECARD**  
*Translating Strategy into Action*  
**AUTHOR:** Robert S. Kaplan and David P. Norton  
**SUMMARY:** The Federal Government is transforming - read about how to use measures in four categories - financial performance, customer knowledge, internal business processes, and learning and growth - to align individual, organizational, and cross-departmental initiatives and more. A must read for HR Managers in a Results-Oriented survival culture.

**TITLE:** **THE FRED FACTOR**  
**AUTHOR:** Mark Sanborn  
**SUMMARY:** Read this powerful and engaging book on how passion in your work and life can turn the ordinary into the extraordinary. Per Mark Sanborn, "I concluded that Fred— and the way he did his job—provides a perfect metaphor for high individual achievement and excellence in the twenty-first century."

**TITLE:** **FABLED SERVICE**  
*Ordinary Acts, Extraordinary Outcomes* **AUTHOR:** Betsy Sanders  
**SUMMARY:** In short, this book is about leadership. Fabled service is always the product of impassioned leadership. The leadership of fabled service summons forth all our talents and energies, as well as our focused intent to excel. As a public servant, read how just seven commitments will help you achieve legendary customer service.



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# CHAPTER 9

## Human Capital Management Library Recommendations for Professional Career Development

### RECOMMENDATIONS FOR PROFESSIONAL CAREER DEVELOPMENT

**TITLE:** **MANAGING SIX SIGMA**  
*A Practice Guide to Understanding, Assessing, and Implementing the Strategy That Yields Bottom-Line Success*

**AUTHOR:** Forrest W. Breyfogle III, James Cupello, Becki Meadows  
**SUMMARY:** Learn how Six Sigma should become part of your overall Business strategy. Read how project teams can determine

the “biggest hitters” and make substantial areas for improvement that provide real benefits to an organizations bottom line.

**TITLE:** **MANAGING TRANSITIONS**  
*Making The Most of Change*

**AUTHOR:** William Bridges  
**SUMMARY:** “It’s not so much that we’re afraid of change or so in love with the old ways, but it’s that place *in between* that we fear... It’s like being between trapezes. It’s Linus when his blanket is in the dryer. There’s nothing to hold on to” - Marilyn Ferguson, American Futurist.

**TITLE:** **MISSION CRITICAL**  
*Realizing the Promise of Enterprise Systems*

**AUTHOR:** Thomas H. Davenport  
**SUMMARY:** Read why Enterprise Systems (ES) are intimately intermingled with organizational structures and functions, and the importance of distinguishing “good” from “poor” ES-enabled process changes for your business environment.

**TITLE:** **180 WAYS TO WALK THE LEADERSHIP TALK**  
*The “How To” Handbook For Leaders At All Levels*

**AUTHOR:** John Baldoni  
**SUMMARY:** Learn a number of action-oriented behaviors that will bring out the special leader that’s inside of YOU. Discover the six important things that ALL leaders do!

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*\*Distributed at the 2006 DoD  
Worldwide Conference - The Future is NOW*



Knowledge. Solutions. Service.



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ADVANCE>>



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# CHAPTER 9

## Human Capital Management Library Recommendations for Professional Career Development

### RECOMMENDATIONS FOR PROFESSIONAL CAREER DEVELOPMENT

**TITLE:** **FIRST, BREAK ALL THE RULES**  
*What The World's Greatest Managers Do Differently*

**AUTHOR:** Marcus Buckingham & Curt Coffman

**SUMMARY:** In today's tight labor markets, companies compete to find and keep the best employees, using pay, benefits, promotions, and training. This book presents the *essential* measuring stick that proves the link between employee opinions and productivity, profit, customer satisfaction, and the rate of turnover.

**TITLE:** **FYI - A Guide for Development and Coaching**

**AUTHOR:** Michael Lombardo, Robert Eichinger

**SUMMARY:** There are thousands of tips in this book that will help anyone who recognizes specific needs and is motivated to do something about them. *FYI* consists of over 1,000 topics (at least 10 remedies of for each of the 67 Competencies, 10 International Performance Dimensions, 7 Stallers and Stoppers)

**TITLE:** **THE PEOPLE FACTOR:**  
*Strengthening America by Investing in Public Service*

**AUTHOR:** Linda Bilmes and Dr. W. Scott Gould

**SUMMARY:** The authors call for a commitment to invest \$10 billion in better recruiting, training and management of the federal workforce, which they predict will yield \$300-\$600 billion in productivity gains. Packed with cost and performance data as well as new research on what motivates applicants for government jobs and provides a compelling business case for investing in civil service.

**TITLE:** **THE SPIRIT of PUBLIC ADMINISTRATION**

**AUTHOR:** H. George Fredericksen

**SUMMARY:** The author takes a big broad-brush approach to the study and practice of public service. The spirit of Public Administration has to do with immediate and pressing questions of how to do things effectively, efficiently, and equitably - that is, management. The book concludes with seven principles that should guide everyone who works in public settings.

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# CHAPTER 9

## Human Capital Management Library Recommendations for Professional Career Development

### RECOMMENDATIONS FOR PROFESSIONAL CAREER DEVELOPMENT

**TITLE:** **QUADRENNIAL DEFENSE REVIEW REPORT**

**DATE:** February 6, 2006

**SUMMARY:** The Department's senior leadership sets out where the Department Defense currently is and the direction of the DoD needs to go in fulfilling its responsibilities to the American people.

**TITLE:** **BEYOND GOLDWATER-NICHOLS: U.S. Government and Defense Reform**

**DATE:** July 2005 - Phase 2 Report

**SUMMARY:** The report is divided into two parts. Chapters 2-5 address ways to improve national security policymaking and execution on an interagency basis, while chapters 6-12 focus on the Department of Defense.

**TITLE:** **BEYOND GOLDWATER-NICHOLS: Defense Reform for a New Strategic Era**

**DATE:** March 2004 - Phase 1 Report

**SUMMARY:** The BG-N study team formulated a set of six guiding principles to guide its search for recommendations to meet the challenges of a new strategic era.

**TITLE:** **CIVILIAN HUMAN CAPITAL STRATEGIC PLAN: 2006 - 2010**

**DATE:** FY 2006

**SUMMARY:** DoD Civilian Human Capital Strategic Plan (CHCSP)

**TITLE:** **CHANGE MANAGEMENT, GUIDING ORGANIZATIONS THROUGH TRANSITION**

**DATE:** 2002

**SUMMARY:** OSD Comptroller iCenter

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# CHAPTER 9

## Human Capital Management Library Recommendations for Professional Career Development

**The following are private sector and public sector professional affiliations and recommended publications for strategic HR and HC advisors to use in research and data analysis:**

**RESOURCE:** [CIO Magazine](#)

(“Grow Your Own” - article on Succession Planning)

**DATE:** October 1, 2006

**WEB ADDRESS:** [www.cio.com](http://www.cio.com)

**RESOURCE:** [The McKinsey Quarterly Newsletter](#)

**WEB ADDRESS:** [www.mckinseyquarterly.com](http://www.mckinseyquarterly.com)

**RESOURCE:** [HR Magazine](#) (SHRM membership required)

**WEB ADDRESS:** [www.shrm.org](http://www.shrm.org)

**RESOURCE:** [GOVERNMENT EXECUTIVE](#)

**WEB ADDRESS:** [www.govexec.com](http://www.govexec.com)

**RESOURCE:** [HayGroup Inc.](#)

**WEB ADDRESS:** [www.haygroup.com](http://www.haygroup.com)

**RESOURCE:** [RAND](#)

**WEB ADDRESS:** [www.rand.org](http://www.rand.org)

**RESOURCE:** [Harvard Business Review](#)

**WEB ADDRESS:** [www.hbrreprints.org](http://www.hbrreprints.org)

**RESOURCE:** [Harvard Business Review](#)

**TITLE:** Maximizing Your Return on People (*Tool Kit*)

**DATE:** March 2007

**AUTHOR:** Laurie Bassi and Daniel McMurrer

**RESOURCE:** [McKinsey Quarterly Newsletter](#)

**TITLE:** Centered Leadership: How talented women thrive

**DATE:** September 15, 2008

**AUTHOR:** Joanna Barsh, Susie Cranston, and Rebecca A. Craske

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# CHAPTER 10

## 2010 CHCAS Best Practice Form

### 2010 CHCAS BEST PRACTICE FORM

Accountability and Evaluation Division Questionnaire

Privacy and Security Notice

DEPARTMENT OF DEFENSE  
**cpms**  
Civilian Personnel Management Service

**AED**  
Division  
Accountability and  
Evaluation Division

Enter Search [ ] [Go]

About AED  
CPMS Express  
Iraq Provincial  
Reconstruction Teams  
CNSPS  
MYBIZ  
Email Subscription

CPMS Home

2010 CHCAS Best Practice Nomination

CPMS Home > 2010 Best Practice Nomination Form

To nominate a recognized BEST PRACTICE, this form must be completed and submitted to CPMS, Accountability and Evaluation Division (AED). Document can be downloaded or faxed to CPMS at 703-696-3277 or sent by email to [aed@cpms.osd.mil](mailto:aed@cpms.osd.mil).

PLEASE PRINT / TYPE CLEARLY

Agency Name	<input type="text"/>
Agency Command/Activity	<input type="text"/>
Address	<input type="text"/>
Agency Point of Contact (First/Last Name)	<input type="text"/>
Phone# (include Area Code)	<input type="text"/>
Fax	<input type="text"/>
Email Address	<input type="text"/>
Best Practice Category	<input type="text"/>
Best Practice Return On Investment Information	<input type="text"/>
Best Practice Recognition (e.g., Press Release, Agency Newsletter, Webcast)	<input type="text"/>

Thank you for taking the time to complete this form.

[http://www.cpms.osd.mil/forms/AED/aed\\_bpn\\_form.aspx\(2/3/2010 8:37:01 AM\)](http://www.cpms.osd.mil/forms/AED/aed_bpn_form.aspx(2/3/2010 8:37:01 AM))

### 2010 CHCAS BEST PRACTICE FORM

To nominate a recognized “Best Practice,” please submit the form and send it to CPMS, Accountability and Evaluation Division (AED).

Document can be [downloaded](#) and faxed to CPMS at 703-696-3277 or sent by email to [aed@cpms.osd.mil](mailto:aed@cpms.osd.mil).

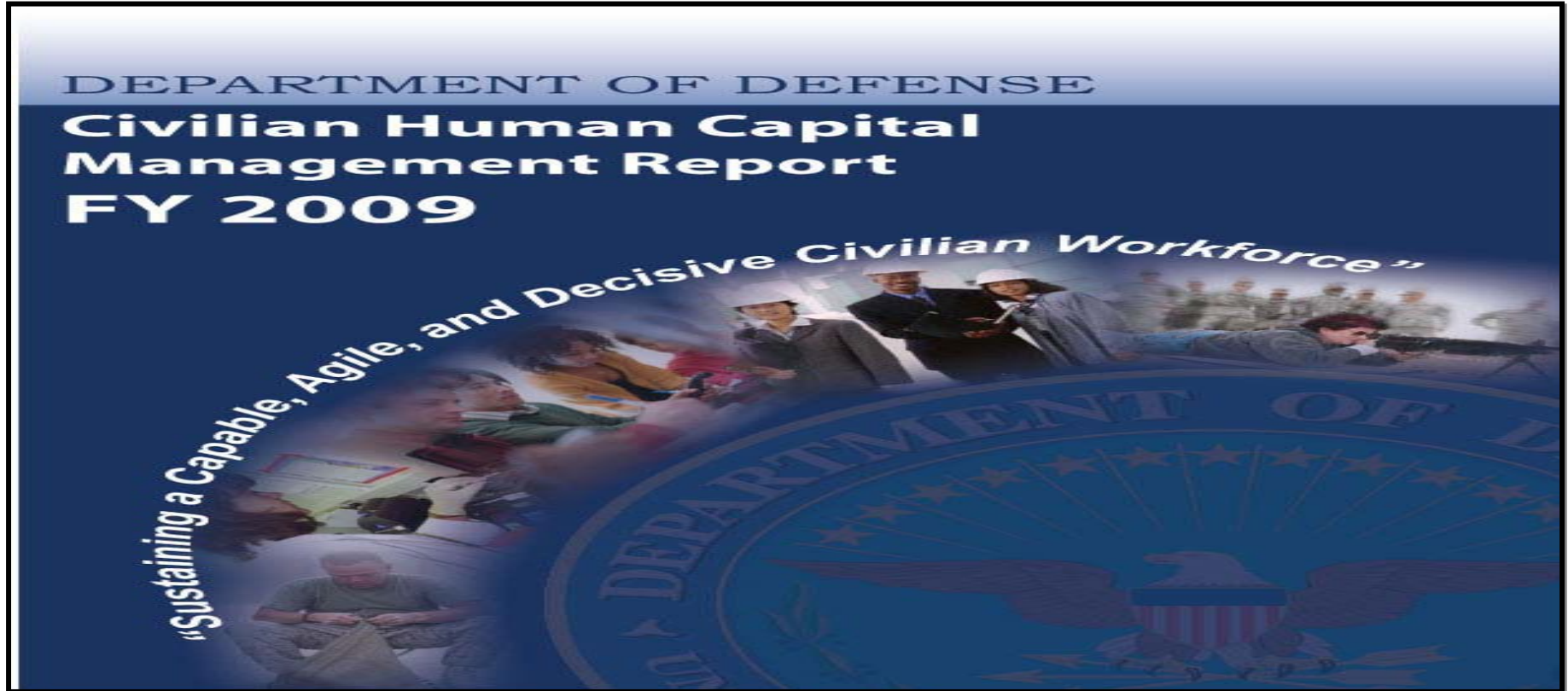
For more information, [Click Here](#) or click image.



# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### FY 09 Human Capital Management Report Executive Summary



# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### SECTION II: EXECUTIVE SUMMARY

#### Executive Summary Contents:

1. Overview
2. Goal 1: World Class Enterprise Leaders
3. Goal 2: Mission-Ready Workforce
4. Goal 3: Results-Oriented Performance Culture
5. Goal 4: Enterprise HR Support
6. Accountability and Compliance
7. Summary





# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### OVERVIEW

The 2009 Department of Defense (DoD) Strategic Management Plan enables the Department's leadership to enhance productivity by focusing resources on the key levers that drive success for each of the five top-level priorities for business operations. Business priority four – Enhance the Civilian Workforce – recognizes the challenges associated with the more than 700,000 civilian DoD employees that serve in a wide variety of critical positions worldwide, to include many deployed to Iraq and Afghanistan. The civilian workforce, representing 28 percent of the Department's total strength, plays a pivotal role in maintaining and supporting the operational capability of the military force. The goals and measures associated with this priority focus on sustaining and improving the quality and competence of the Department's civilian workforce, and support the objectives of decisiveness, integration, and agility that were established in the DoD Human Capital Strategy (HCS).

Attainment of the goals and objectives of the Strategic Management Plan and the overarching DoD HCS is accomplished through implementation of the DoD Civilian Human Capital Strategic Plan (CHCSP). In order to ensure continued alignment with and support for the current DoD environment, the CHCSP was reviewed; multi-year goals revalidated; and objectives refreshed in April 2009. The strenuous review process included an environmental scan to determine the impact of current and future mission requirements on civilian workforce requirements; revalidation of links to the Office of the Under Secretary of Defense for Personnel and Readiness (OUSD (P&R)) Strategic Plan; and confirmation of continued alignment to and support for overarching goals of both the Administration and the Department.

# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### OVERVIEW

The environmental scan revealed several challenges including identifying, recruiting, filling and retaining positions resulting from in-sourcing and implementation of the American Recovery and Reinvestment Act (ARRA) of 2009; and continued support for our all volunteer force, deployed civilians, and the newly established Civilian Expeditionary Workforce (CEW) that is heavily engaged in the contingency operations of Iraq and Afghanistan.

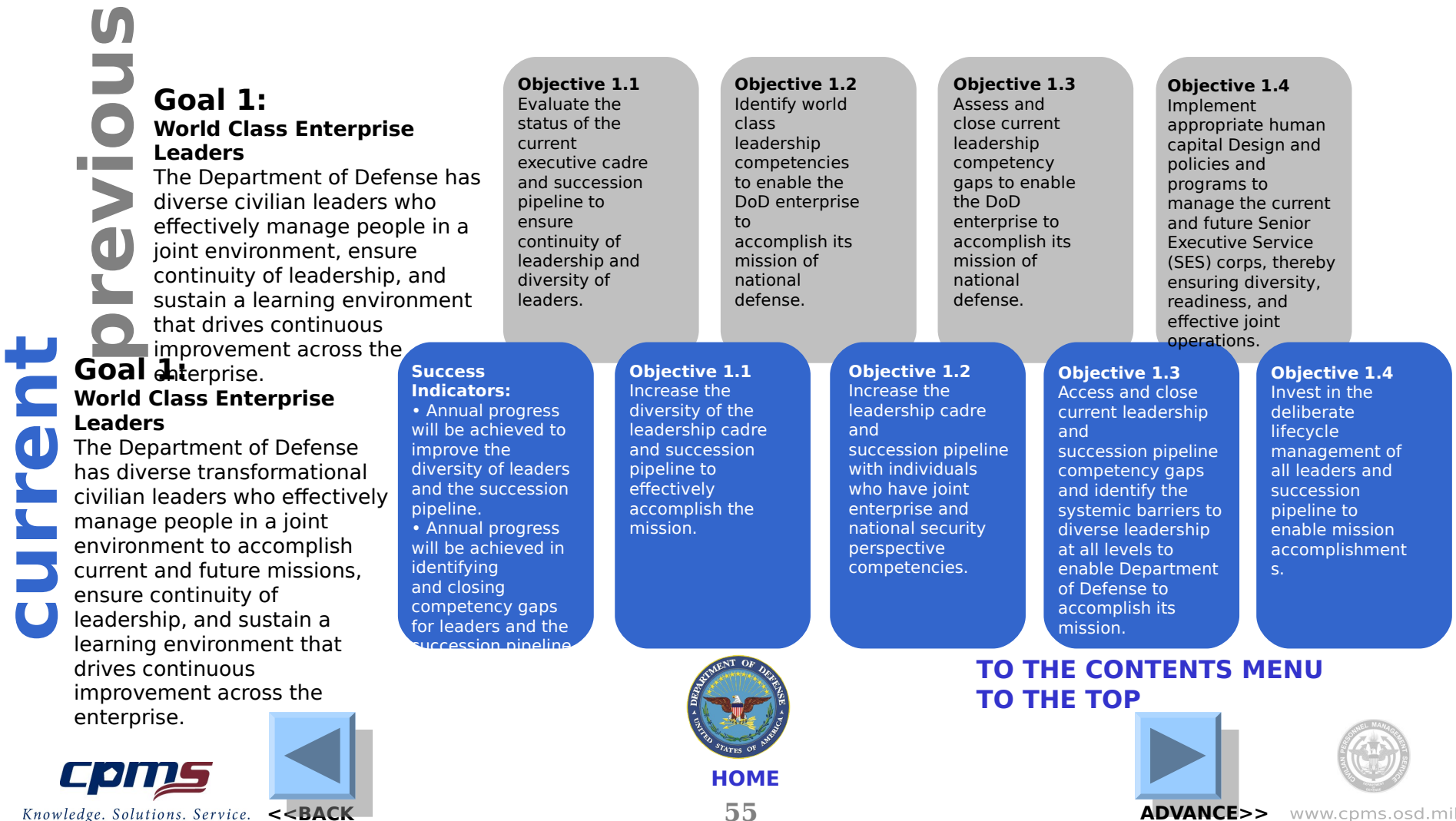
Adjustments to the CHCSP included modifications to the objectives as required, and the addition of success indicators for each of the goals. Information provided in the 2008 HCMR, along with results of the DoD Civilian Human Capital Accountability System (CHCAS) reviews and Office of Personnel Management (OPM) Human Capital Assessment and Accountability Framework (HCAAF) indices, served as inputs to the development of the success indicators and supporting metrics. These indicators will facilitate measurement of progress toward meeting our human capital goals. Reporting will occur on an annual basis and be included in future editions of our Human Capital Management Report (HCMR). Results of the 2009 CHCSP refresh are shown in Figures II-1 thru II-4 on the follow



# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

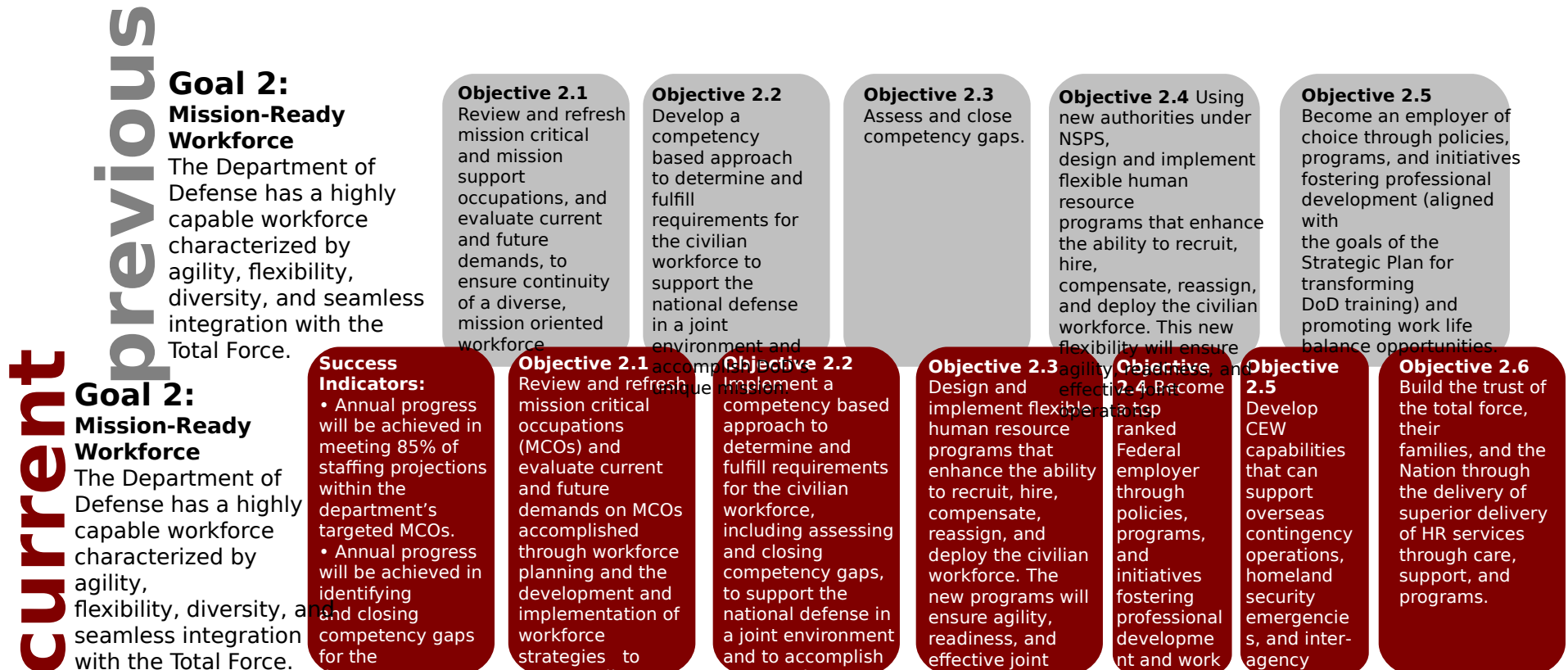
FIGURE II-1: GOAL 1 REFRESH



# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

**FIGURE II-2: GOAL 2 REFRESH**

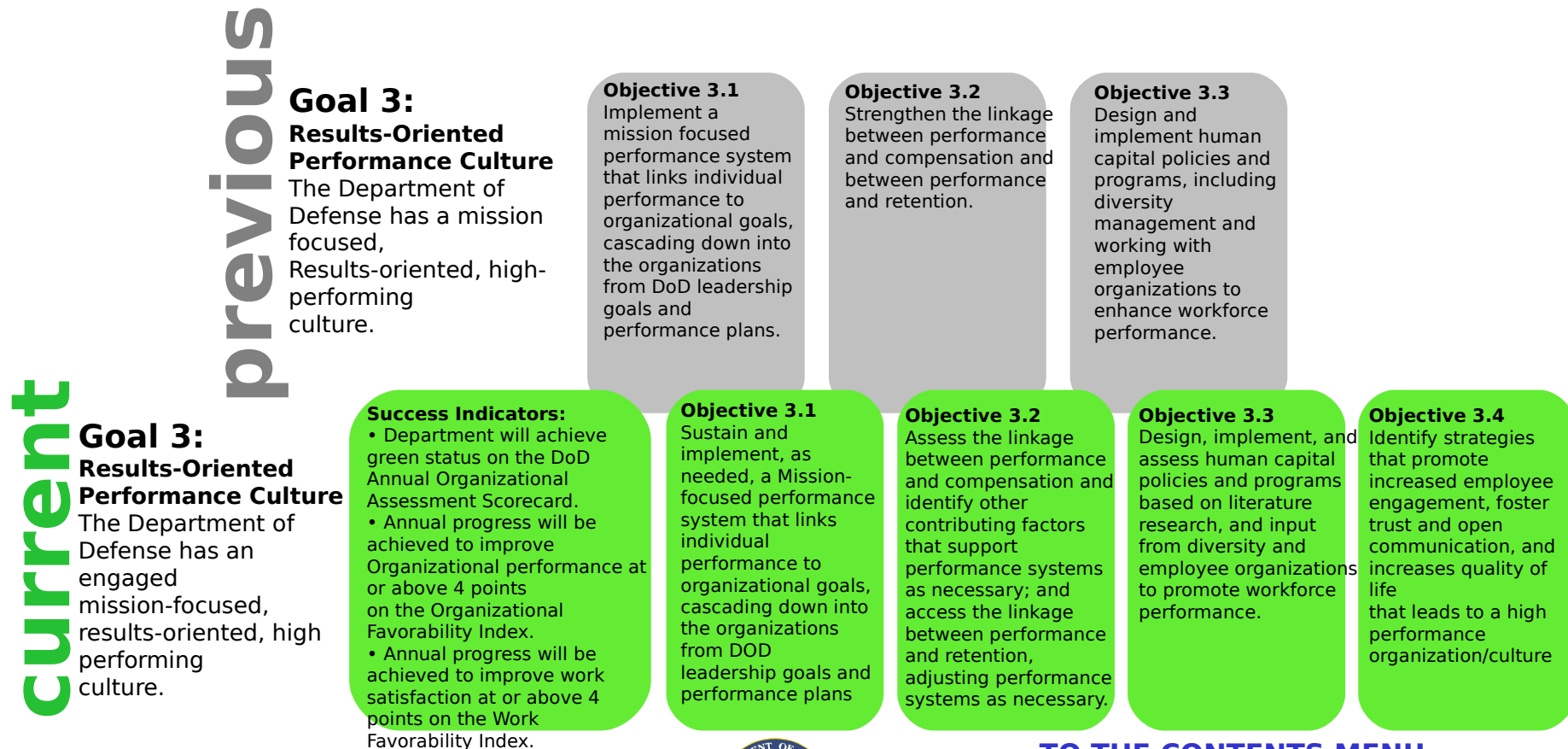


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# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

FIGURE II-3 GOAL 3 REFRESH

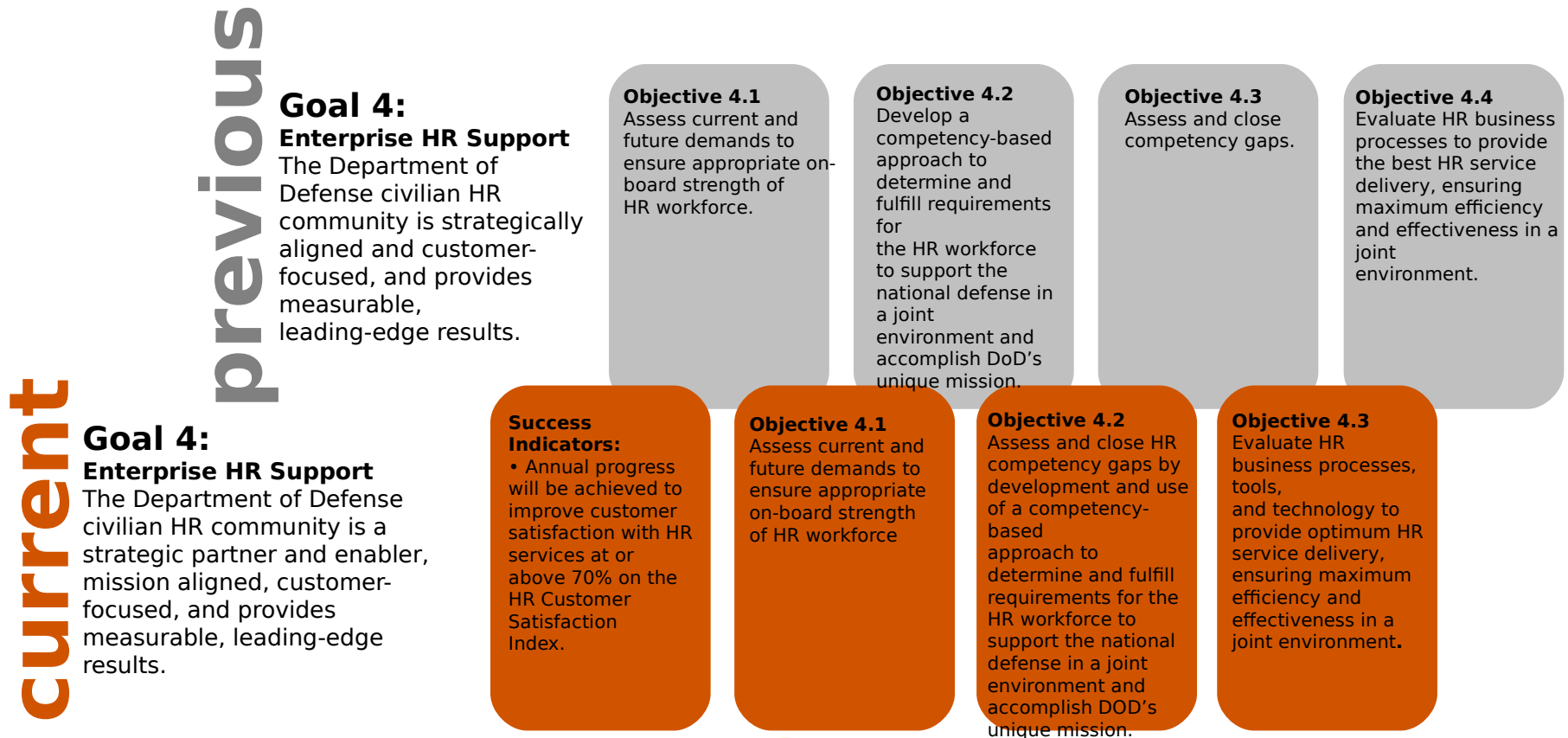


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# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

FIGURE II-4: GOAL 4 REFRESH



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# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### GOAL 1: WORLD CLASS ENTERPRISE LEADERS

Goal 1 of the CHCSP and its supporting objectives are fully aligned with the OUSD (P&R) FY 2009 Strategic Plan (January 2009) goals, specifically:

- **Goal 1:** Strengthen Total Force capability; achieve unity of effort and develop people to execute current and future missions.
- **Goal 4:** Lead the development of Human Capital Management practices that are responsive to a dynamic security environment.

This goal also aligns with the OPM HCAAF System Standard for Leadership and Knowledge Management, comprised of four critical success factors that define a successful agency leadership and knowledge management system as one in which agency leadership effectively manage people, ensure continuity of leadership, promote a continuous learning environment and provide a means to share critical knowledge.

Goal 1 was refined during the 2009 CHCSP review to better reflect the Department's expectations for our current and future DoD enterprise leadership cadre, and to fully align, link, and support OPM and OUSD (P&R) strategies. Our cadre must have the leadership competencies to operate in a joint and diverse transformational environment. Additionally, the Department must ensure that it continually develops and nurtures its future leaders, paying close attention to the leadership pipeline and its diversity, capabilities, and talent. This goal focuses on a new reality that requires our leaders to have a unique set of competencies enabling them to excel in a wide array of complex environments.



# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### GOAL 1: WORLD CLASS ENTERPRISE LEADERS

Through various initiatives highlighted in this report, DoD is seeking to more effectively manage its pipeline of future leaders and ensure, in a deliberate and thoughtful way, that our leaders have the optimal level of proficiency in critical leadership competencies needed for successful performance. We are preparing the senior career civilians to play an even more significant role than in the past. Initiatives and activities taken in support of Goal 1 during 2009 were primarily focused on the current cadre of DoD senior leaders.

The Department began a deliberate approach to improve the identification, management and utilization of the leadership cadre in 2006 by launching the 21st Century Senior Leader Initiative. The initiative sought to instill, institutionalize, and systematize the deliberate development and management of the career lifecycle of senior civilian executives at DoD. The Lifecycle Management Framework (Figure II-5) for executive talent fully integrates each element of the career lifecycle to better monitor and develop civilian executives. As part of the 2009 refresh process, the objectives tied to Goal 1 were reexamined using this lifecycle concept as the foundation.

To meet the challenges of the 21st Century, the Department is fully committed to developing leaders who possess the competencies that will enable them to excel in a joint, Total Force environment. To support this strategic direction, DoD focused on a number of key initiatives during 2009. Select initiatives and results are highlighted below, with detailed information on Goal 1 implementation strategies provided in Section III, Part B, of this report.





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## FY 09 Human Capital Management Report Executive Summary

**FIGURE II-5. DOD LIFECYCLE MANAGEMENT FRAMEWORK**



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## FY 09 Human Capital Management Report Executive Summary

### GOAL 1: WORLD CLASS ENTERPRISE LEADERS

#### Implementation Strategies and Results

■ **Review SES, senior leadership and senior technical positions across the Department to validate executive resource requirements.**

The baseline review, coupled with a review of unconstrained executive requirements through FY2015, identified the need for significant additional leadership allocations to fulfill critical and emerging mission requirements. At least 25 additional SES, ST, or SL requirements were identified, with overall executive requirements expected to increase by over 400 positions by FY15.

■ **Institutionalize the Leader Development Competency Framework and Continuum.**

Department of Defense Instruction (DoDI) 1430.16, Growing Civilian Leaders, was drafted to institutionalize the competency framework and continuum as official policy. Further, each Component was directed to align its respective leader development initiatives to the Framework and Continuum, thus furthering consistency in development of leaders with an enterprise-wide perspective.

■ **Establish a requirement for formal annual talent reviews and succession planning.**

A requirement for formal annual talent reviews and succession planning to support the development of executives was established. A development model was designed to encourage the accumulation of a diverse portfolio through a structured series of well planned developmental and educational experiences, including reassignments to more challenging positions.

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# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### GOAL 1: WORLD CLASS ENTERPRISE LEADERS

#### ■ **Align the mission with executive workforce planning and requirements to ensure a pipeline of leaders.**

In May 2009, the Senior Leader Advisory Group agreed upon standard business rules and processes to align the mission with executive workforce planning and requirements. These rules and processes were formalized in a policy that is currently in the coordination process, with implementation of the policy targeted for FY 2010.

#### ■ **Identify new prerequisite entry and developmental requirements for success in DoD SES positions.**

A need for new entry and developmental requirements was met by the development of two DoD unique SES competencies: Joint Perspective and National Security Perspective. The two perspectives have been validated by OPM, and in December 2008, DoD imposed a requirement that executives selected for Enterprise, NSP-designated, and Tier 2 and 3 SES positions must demonstrate the two DoD-unique competencies. A phased approach to application of this requirement has been adopted.

#### ■ **Use the Defense Talent Management System (DTMS) for lifecycle management of DoD executive talent.**

DTMS is being modified to create succession plans for executive positions; baseline and project executive bench strength; define levels of executive potential; identify talent pools for future leaders at early and mid-levels; and facilitate sharing of executive talent across DoD. DTMS will use common inputs and generate standard outputs in the form of templates, succession plans, and reports. Some modules of the system are currently operational and being used by the Army and the Air Force.

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# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### GOAL 1: WORLD CLASS ENTERPRISE LEADERS

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# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### GOAL 1: WORLD CLASS ENTERPRISE LEADERS

#### Goal 1 Accountability

The area of Leadership Knowledge Management (LKM) was assessed as part of the FY 2009 DoD CHCAS evaluations. Several critical success factors define the OPM HCAAF system. The two HCAAF critical success factors that directly relate to DoD Leadership are: Leadership Succession Management; and Integrity and Inspiring Employees.

We found that a majority of the Commands visited in FY 2009 had well-supported command leadership training programs, although none knew of the requirement to include competency education and training within the programs. While some of the local programs were targeted toward lower-level employees, this was not the case at all organizations. As a result, recommendations included development of formal leadership development programs for junior employees to ensure a continuous pipeline of available leaders within the organization.

Many of the installations also had formal and informal mentoring programs. The majority of managers and supervisors interviewed indicated that formal leadership succession plans did not exist, and that leaders were identified by their supervisors or through self-identification. It was noted that organizations would benefit from formal leadership succession programs and the development of a formal succession management plan, which would assist the Commands in ensuring continuity of mission critical leadership in the future workforce.

# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### GOAL 1: WORLD CLASS ENTERPRISE LEADERS

OPM developed HCAAF indices designed to measure employee perceptions related to specific HCAAF systems. The LKM Index links directly to Goal 1 of the DoD CHCSP and assesses employee perceptions of their leaders' abilities overall and on specific facets of leadership. Twelve specific questions from the 40 required Annual Employee Survey (AES) questions were extracted to create the LKM Index. The results are taken from the DoD Status of Forces Survey - Civilians instrument which is deployed annually. The LKM Index has been tracked since 2006 and on average it has remained around the 60% satisfaction rate. However, when comparing this year to last, the satisfaction rate has gone up from 60-62% - a statistically significant increase. The Department's focus on its leadership and the recent implementation of the 21st Century Executive Leadership Framework and Leader Development Competency Framework and Continuum may have contributed to the p...



***The majority of employees and supervisors interviewed in sensing sessions believe that their leaders exhibit high standards of honesty and integrity. This has not always been the case in reviews at other Components or Defense agencies, even though the review teams were not able to validate any widespread violations of laws or regulations in those Components or agencies.***

# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### GOAL 2: MISSION-READY WORKFORCE

During FY 2009, Goal 2 was reviewed and revalidated as being current. There was consensus that the goal, as stated, reflects a DoD current and future workforce that possesses the capabilities and competencies to participate and meet Total Force mission requirements. Goal 2 of the CHCSP and its supporting objectives are fully aligned with the OUSD (P&R) FY 2009 Strategic Plan (January 2009) goals, specifically:

- **Goal 1:** Strengthen Total Force capability: achieve unity of effort and develop people to execute current and future missions
- **Goal 2:** Maintain and shape a mission ready All Volunteer Force
- **Goal 3:** Ensure the trust of the Total Force, their families, and the nation through superior care and support.

Goal 2 focuses on the Department's MCOs and the need to develop a competency-based approach to determine and fulfill requirements for its varied workforce. This goal supports the Department's mission and priorities by ensuring that as conditions or missions change, the civilian workforce is fully competent and ready to meet the overall mission of protecting the national security of the United States and its allies and partners abroad. This goal recognizes the significant challenges that DoD faces in sustaining a high-performing and agile workforce.



# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### GOAL 2: MISSION-READY WORKFORCE

Through this goal, DoD continually monitors and assesses the effectiveness of recruitment, retention, work-life, and talent management strategies and systems in closing mission-critical competency gaps; ensuring the right people, in the right place, at the right time. Through the attainment of this Goal, DoD ensures that quality talent is available and that Component-unique and DoD-wide initiatives are aligned with Departmental goals and strategies as well as human capital strategic and operational plans. Select initiatives and results are highlighted below, with detailed information on Goal 2 implementation strategies provided in Section III, Part C, of this report.

#### Implementation Strategies and Results

##### ■ Initiatives related to Mission-Critical Occupations (MCOs).

There were a number of initiatives focused on the MCO workforce during FY 2009. From development and issuance of a DoD Directive on workforce planning, to implementation of the Functional Community Manager (FCM) concept, this was an area of non-stop activity and high visibility. During FY 2009 the Department reviewed and updated its list of MCOs, adding four additional occupations and removing two in acknowledgement of the ever evolving DoD mission and focus. Development and adoption of the FCM concept was a noteworthy accomplishment, and one that is key to enhanced management of the DoD workforce through a three-level workforce planning approach. Providing focus at the operational, business, and strategic levels, this holistic view of workforce status and requirements enables the Department to have a more centralized view of and take a more consistent approach to workforce planning. A wealth of information regarding initiatives and results taken in support of our MCOs is provided under Objective 2.1 in Section 3, Part C, of this report.

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## FY 09 Human Capital Management Report Executive Summary

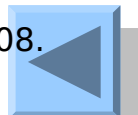
### GOAL 2: MISSION-READY WORKFORCE

#### ■ Initiatives related to competency management.

As with our efforts relative to the MCOs, there were a number of competency management initiatives undertaken in 2009. The competency-based workforce planning process was piloted in three of the FCMs: Financial Management, Information Technology, and Logistics. While each of the FCMs made progress in identification and validation of their competencies, the level of results achieved during the year was impacted by the size and complexity of the FCM. In addition to the three FCM pilots, there were many other competency management activities underway such as those for the Medical, Human Resources, and Construction Engineering functional communities. One example is the comprehensive competency assessment of the Civil Engineering workforce that was conducted during FY 2009. Prior assessments conducted in 2007 and 2008 had low response rates and provided little useable information. Through the 2009 assessment, significant competency gaps in the civil engineering workforce were revealed and targeted for improvement.

#### ■ Initiatives related to hiring flexibilities.

Another area of focus for FY 2009 was attracting and retaining a high quality workforce. DoD continues to use a wide variety of existing HR flexibilities and works to develop and propose additional flexibilities to meet its workforce recruitment and retention needs, working through the legislative process to obtain authorities that improve our ability to meet global expeditionary future mission requirements. A number of hiring flexibilities used in MCO functional areas achieved notable results. The DoD Science, Mathematics and Research for Transformation (SMART) scholarships and fellowships enabled 19 scientists and seven engineers to complete their studies and enter the DoD workforce in 2009, while 181 new students were accepted into the program. Use of Direct Hire Authority enabled DoD to continue its success in hiring healthcare professionals, with over 5,000 hired since October 2008.



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## FY 09 Human Capital Management Report Executive Summary

### GOAL 2: MISSION-READY WORKFORCE

Use of the Acquisition Expedited Hiring Authority (AEHA) provided for in the 2009 National Defense Authorization Act produced immediate results, with a little more than 1,000 seasoned acquisition professionals hired into DoD since the authority was granted. Hiring of staff in support of the ARRA also benefited from the use of hiring flexibilities through use of excepted-service appointments authorized by OPM in March 2009. To date, approximately 350 employees have been hired, primarily by the U.S. Army Corps of Engineers, to support military construction and overseas contingency operations. Numerous other initiatives highlighting DoD use of hiring, compensation, and recruitment flexibilities and incentives are discussed under Objective 2.3 in Section III, Part C of this report.

#### ■ Enterprise-wide professional development programs.

As previously discussed, DoD is committed to taking the actions necessary to ensure that the current and future workforce has the competencies needed to execute the mission. Where gaps are noted or where new emergent work is identified, training is offered to bring the workforce to the proficiency levels needed for effective performance. While it would be impractical to discuss all activities related to employee development undertaken in 2009, the following are highlights of some of the enterprise-wide initiatives. The DoD Centralized Intern Program (DCIP) provided experiential training and development to a diverse group of 38 students and recent graduates, including persons with disabilities and military dependents. The National Language Service Corps (NLSC) initiative achieved great success in 2009 with enrollment of over 1,000 charter members with competencies in ten target languages. The NLSC is a corps of volunteers engaged on an on-call basis to use their diverse language skills in providing a broad range of services to local, state, and federal government agencies. In addition to examining and enrolling charter members with targeted languages, three activation exercises were completed during the year.

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## FY 09 Human Capital Management Report Executive Summary

### GOAL 2: MISSION-READY WORKFORCE

As a result of actions taken in support of the DoD Information Assurance Workforce Improvement Program, close to 17,000 civilian positions were identified as being part of the Cyber Security workforce, thus facilitating continued progress toward employee training and certification.

#### ■ Work-life initiatives.

The Department has and continues to support quality of work-life initiatives such as alternative working arrangements, telework, flex-time work schedules, tuition assistance programs, wellness centers, and child care. The DoD telework policy is currently under review and revision, to include development of implementation plans and outcome measures; identification of strategies to overcome obstacles to telework and alternative work arrangements; and development of marketing materials to encourage increased participation. A significant result of efforts in this arena for FY 2009 is the development of the DoD Employee Wellness Action Plan. In response to requirements of the President's Work/Life initiative, DoD established an Employee Engagement SWAT team that reviewed the 2008 Federal Human Capital Survey (FHCS) results to identify: (1) Ten items on which DoD scored lowest compared to the rest of the government; and (2) Item(s) where employee satisfaction decreased since the 2006 survey. In addition to development of the wellness action plan, the SWAT team also identified improvement targets to increase employee satisfaction. A condensed version of the action plan is provided in Appendix K.



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## FY 09 Human Capital Management Report Executive Summary

### GOAL 2: MISSION-READY WORKFORCE

#### ■ Civilian Expeditionary Workforce (CEW).

Of critical importance to DoD in FY 2009 was initiatives supporting the CEW. The CEW program has been endorsed by the Secretary of Defense, who issued a “Call to Serve” memo on September 22, 2008, requesting Department-wide support for launching the first phase of the program. The memo called for expanding the opportunities for DoD civilians to fill positions globally to augment expeditionary requirements. These opportunities support the Joint Task Force Headquarters staffs in Iraq, Afghanistan, and other locations worldwide. On January 23, 2009, OUSD (P&R) reissued DoD Directive (DoDD) 1404.10 under the new title of DoD Civilian Expeditionary Workforce (CEW) to establish the policy through which an appropriately sized subset of the DoD civilian workforce is pre-identified, organized, trained, and equipped in a manner that facilitates the use of their capabilities for operational requirements. As an initiative to make the total force more agile, DoD examined the role civilian personnel should play in expeditionary support. The OUSD (P&R) led an Expeditionary Workforce Design Team, with membership from the Military Departments and other DoD Components, to create a CEW framework and to define civilian expeditionary requirements. This framework was created and training curriculum identified, with Phase I training for the CEW conducted in March, June, and September 2009.

#### ■ Support of the total force through HR services.

The Department honors and values the service and sacrifice of its military members and civilians and will ensure that they have the highest quality care and services available. Initiatives furthering this intent are highlighted below:

- The DoD Operation Warfighter (OWF) Initiative was established by DoD with an official Charter published on July 1, 2009. The Initiative calls on Federal agencies to identify temporary assignments and opportunities for service members convalescing at military medical centers in the National Capital Region.

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## FY 09 Human Capital Management Report Executive Summary

### GOAL 2: MISSION-READY WORKFORCE

- OPM issued final regulations (effective September 11, 2009) which establish a noncompetitive hiring authority for certain military spouses to positions in the competitive service. DoD is currently developing implementing guidance, Directive Type Memorandum (DTM) 09-022, on *Noncompetitive Appointment of Certain Military Spouses*.

#### Goal 2 Accountability

The OPM Talent Management (TM) Index, consists of seven questions designed to assess the extent that employees believe their organization has the talent necessary to achieve organizational goals. DoD chose to use the annual DoD SOFS-C as the agency-unique instrument to develop the FY 2009 OPM TM Index. When DoD SOFS-Cs 2006-2009 are compared, the DoD averages for the seven items reflected 57 percent for DoD SOFS-C 2006 and an incremental increase by one percent to 58 percent for the DoD SOFS-Cs 2007 and 2008 and to 59 percent on the DoD SOFS-C 2009 survey administrations. On all seven items of the index, there was an increase from the SOFS-C 2006 baseline results, an exceedingly positive trend that affirms the DoD efforts to acquire and retain talent.



# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### GOAL 3: RESULTS-ORIENTED PERFORMANCE CULTURE

**Goal 3 of the CHCSP is fully aligned with the OUSD (P&R) FY 2009 Strategic Plan (January 2009), specifically:**

■ **Goal 4:** Lead the development of Human Capital Management practices that are responsive to a dynamic security environment.

Having leading and modeling the shift to a performance and results driven culture as one of its strategic imperatives, there is solid alignment between CHCSP and OUSD (P&R) goals.

This goal also aligns with the OPM HCAAF System Standard for Results-Oriented Performance Culture, which is comprised of multiple critical success factors that work together to create a diverse, results-oriented, high performance workforce and a performance management system that differentiates between high and low levels of performance and links performance to organizational goals and desired results.

Goal 3 was refined during the 2009 CHCSP review to emphasize the link between employee engagement and performance. Employee engagement should be a key focus of any performance management system and is reflective of a participative workforce. Given that the overall purpose of Goal 3 is to address the focus and performance of the workforce, this adjustment emphasizes the importance of employee engagement in attaining a results-oriented performance culture.

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## FY 09 Human Capital Management Report Executive Summary

### GOAL 3: RESULTS-ORIENTED PERFORMANCE CULTURE

Ongoing implementation of the National Security Personnel System (NSPS) continued to be in the forefront in 2009 with regard to DoD's focus on results oriented performance. The NSPS workforce has expanded from the first group of 11,000 to more than 219,000 as of September 2009. DoD was steadily working the bugs out of NSPS, as a fairly new system; and the workforce was still adjusting to its major changes from the customary General Schedule (GS) system when Congress terminated authority for the system in the National Defense Authorization Act of FY 2010. Such a large group (more people than are employed by any other Cabinet Department besides VA) in a demanding alternate personnel system has drawn intense scrutiny and been a magnet for concerns about pay for performance, local leadership practices, and deviation from familiar and accepted GS processes. DoD, in consultation with OPM, arranged for a broad review by an external advisory board in FY 2009 to help inform the Secretary of Defense's decision on the way forward for NSPS. Congress' will, once enacted, would set aside the Department's plan to retain but improve NSPS based on the special review, and turn DoD attention to other aspects of human capital management.

Certification of the Senior-Level (SL) and Scientific and Professional (ST) performance management system, and actions to identify and address issues having a significant impact on employee engagement and workforce performance were also areas of focus in FY 2009. Select initiatives and results are highlighted below, with detailed information on Goal 3 implementation strategies provided in Section III, Part D, of this report.



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## FY 09 Human Capital Management Report Executive Summary

### GOAL 3: RESULTS-ORIENTED PERFORMANCE CULTURE

#### Implementation Strategies and Results

##### ■ Continue Implementation of NSPS.

A number of actions relative to NSPS implementation were accomplished in 2009, resulting in significant results relative to the Department's pay for performance system. Implementing issuances were revised and staffing and employment regulations published to put into effect provisions of the National Defense Authorization Act of FY 2009. A number of improvements to the automated performance appraisal tool, and the NSPS-Connect knowledge portal were fielded. A NSPS conference for HR Practitioners was held with a turnout of over 300 members of the DoD HR community. Results related to NSPS implementation in 2009 included completing the planned Spiral implementation for eligible workforce; achieving pay rewards proportionate to performance levels; and achieving loss rates that were slightly better than those of non-NSPS employees. In support of the on-going emphasis on strategic compensation under a pay-for-performance system, DoD realized 144 instances of Strategic Compensation training resulting in development of:

- 36 new Advisory Compensation Analysts
- 25 new Strategic Business Partners
- 23 new Certified Compensation Professionals





# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### GOAL 3: RESULTS-ORIENTED PERFORMANCE CULTURE

#### ■ Obtain full certification for the ST/SL Performance Management System.

In 2009, DoD worked with OPM to obtain certification of its ST and SL employees through demonstration that DoD was making meaningful distinctions in performance ratings for individuals in these pay schedules. As a result, DoD was the only Cabinet level agency to obtain certification of its ST and SL employees, thus allowing compensation at the top of the pay scale. It is anticipated that this will be a powerful tool for recruitment and retention of these senior-level and scientific and professional employees who have invaluable expertise in DoD systems and programs.

#### ■ Identify issues having significant impact on workforce performance — Employee Engagement.

The Department worked hard during 2009 to integrate multiple sources of data and information and to translate the results into actionable plans for improving workforce performance. The FHCS results were augmented by research in the form of management interviews, employee focus groups and literature reviews, with emphasis on issues that address the relationship between employee satisfaction/engagement and workforce performance. One theme that consistently emerged during the research and data gathering process was employee dissatisfaction with steps taken to deal with poor performers, and the resultant impact on overall employee satisfaction and motivation. In response to the 2009 FHCS question: *“In my work unit, steps are taken to deal with a poor performer who cannot or will not improve”*, only 29.3 percent of respondents answered in the affirmative – just slightly below the total government score of 29.8 percent. As a result, this area was targeted for inclusion in the 2009 CHCAS reviews and was included as an area of focus in the 50 plus focus group sessions attended by over 700 randomly selected employees (managerial and non-managerial). Results of the focus groups served as inputs in development of the DoD Employee Satisfaction Action Plan found at Appendix K.

# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### GOAL 3: RESULTS-ORIENTED PERFORMANCE CULTURE

#### Goal 3 Accountability

OPM developed HCAAF indices designed to measure employee perceptions related to specific HCAAF systems. The Results-Oriented Performance Culture (ROPC) Index links directly to Goal 3 of the DoD CHCSP and measures the extent to which employees believe their organizational culture promotes an improvement in processes, products, services and organizational outcomes. Fourteen specific questions from the 40 required AES questions were extracted to create the ROPC Index. The ROPC Index has been tracked since 2006 and on average it has remained in the low 50 percent satisfaction rate. The 2009 overall average increased from 53.2 percent to 54 percent. Work remains to continue to increase the DoD satisfaction rate related to workforce performance which is a top priority throughout government.

The area of ROPC was assessed as part of the FY 2009 DoD CHCAS evaluations review. Communication and the performance appraisal and awards processes or systems were found to be of most importance to employees who were evaluated in FY 2009. Although most employees were aware of the overall command strategic plan, many interviewed were not aware of the Command-wide Human Capital Strategic Plan (HCSP). As a result, one of the CHCAS recommendations was to employ a variety of methods to disseminate the Command and local human capital plans in order to reach employees at all levels of the organization.

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## FY 09 Human Capital Management Report Executive Summary

### GOAL 3: RESULTS-ORIENTED PERFORMANCE CULTURE

The Command reviewed had to use several different performance management systems in order to cover employees in a variety of pay systems. All performance plans reviewed for both employees and managers were linked to the agency's mission, and a majority of managers' performance plans also included elements directly linked to the agency's strategic plan. A review of 243 randomly selected performance appraisals indicated that the majority of employees receive performance plans and annual performance appraisals as prescribed by Command and Service regulations. However, the compliance review of performance appraisals at the installations visited indicated that procedures were not always followed and most did not perform any quality reviews of the performance management program. Even though issuing performance plans, conducting progress reviews, and rating employees are management's responsibility, it was recommended that the HR staff assist management by offering additional training, publishing notices and reminders of suspense dates, and conducting quality reviews of the performance management program.

A variety of recognition tools were used by the Command to recognize high performers. In general, employees reported satisfaction with the agency's recognition system; however some employees voiced dissatisfaction with the awards program because they felt that it did not distinguish between levels of performance. It was recommended that the Command work with HR to review their current awards procedures and processes, and provide training to managers and supervisors.

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## FY 09 Human Capital Management Report Executive Summary

### GOAL 3: RESULTS-ORIENTED PERFORMANCE CULTURE

Objective 1 of Goal 3 describes the need to sustain and implement a performance system that links individual performance to organizational goals. OPM developed a measure that enabled agencies to determine whether all employees have performance appraisal plans that effectively link to agency mission, goals and outcomes – the Performance Assessment Accountability Tool (PAAT). DoD used the PAAT in FY 2007 and FY 2008 to assess only the NSPS workforce, both those already spiraled into NSPS and those eligible to spiral. Other performance systems, General Schedule, Wage Grade, and various DEMO and Lab projects were not included in the PAAT calculation. PAAT scores for the NSPS population were 84 and 81 respectively, showing that NSPS was very effective in linking individual performance to organizational goals.

A PAAT assessment was not done in FY 2009 due to the uncertainties surrounding continued NSPS implementation, and transition in senior leadership within the OUSD (P&R) resulting from the change in Administration.



# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### GOAL 4: ENTERPRISE HR SUPPORT

**Goal 4 of the CHCSP is fully aligned with the OUSD (P&R) FY 2009 Strategic Plan (January 2009), specifically:**

■ **Goal 1:** Strengthen Total Force Capability: achieve unity of effort and develop people to execute current and future missions

This goal also aligns with the OPM HCAAF System Standard of Strategic Alignment, which has one critical success factor for Human Resources (HR) that defines a successful agency human resources strategic partnership as one where HR professionals act as consultants with managers to develop, implement, and assess human capital policies and practices to achieve the organization's shared vision.

Goal 4 was refined during the 2009 CHCSP review to better reflect the role of the HR professional as a strategic partner and consultant to management. Efforts to ensure appropriate staffing and enhance the competency of the HR workforce; and to improve business processes, tools, and technology continued during FY 2009. From development of competency-based planning within the HR functional community to automation efforts such as electronic Official Personnel Folders (e-OPF) and the Enterprise Staffing Solution (ESS), initiatives pursued during the past year contributed greatly to the goal of enhancing enterprise human resources support. Select initiatives and results are highlighted below, with detailed information on Goal 4 implementation strategies provided in Section III, Part E, of this report.

# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### GOAL 4: ENTERPRISE HR SUPPORT

#### Implementation Strategies and Results

##### ■ **Conduct workforce analysis within the HR Functional Community.**

During this period, HR leadership assessed current and future workforce needs, from both a capability (numbers) and competency perspective, and developed a wide range of recruitment and retention strategies to address staffing gaps. This analysis provided data and information vital to HR workforce planning and critical to DoD's ability to successfully execute such initiatives as contractor and military to civilian conversions, and base realignment and closure actions.

##### ■ **Engage in competency-based planning for the HR Functional Community.**

While the human resources career field has been identified as one of DoD's mission critical occupations (MCOs), the primary focus for the Department at this time is on those functions that provide direct mission support. The Human Resources Professional Career Framework (HRPCF), first introduced in the 2008 HCMR, serves as the starting point for competency based workforce planning for the HR community. During FY 2009, a communications strategy to expand exposure of the HRPCF was developed, and several enhancements to the HRPCF website were completed, thus enhancing the utility of the tool in identifying competencies required at the different stages in the HR career path, shaping strategies for closing gaps, and promoting sharing of and leveraging internal training resources.


# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### GOAL 4: ENTERPRISE HR SUPPORT

#### ■ Make improvements to HR technology.

While DoD engaged in several HR technology-related initiatives during FY 2009, two were particularly noteworthy for their potential impact on enhancing HR service delivery throughout the Department:



- Development of a competency management prototype within the Defense Civilian Personnel Data System (DCPDS) will provide DoD with the ability to define competencies, competency levels, and produce reports for use in identification of competency gaps for functional community. Much progress was made in this effort during 2009, including development and provision of Competency Application demos for various functional areas; addition of HR competencies to the test database; and development of project and screen mock-ups for inclusion in production Phase 1.

- Development of the much anticipated DoD Enterprise Staffing Solution (ESS) continued in 2009. A pilot to assess the viability of the Enterprise Staffing Solution as a department wide tool was scheduled for launch by September 2009, contingent upon completion of Stage Gates. Interim Authority to Operate (IATO) was granted in 2009, but the contractual stage gate was not resolved. As a result, the pilot was cancelled. CPMS funds were distributed to Components as part of a short-term solution to support Recruitment and Staffing Support across DoD, and long-term planning is in progress.

# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### GOAL 4: ENTERPRISE HR SUPPORT

#### ■ Support the Federal Hiring Reform initiative.

One of the most significant initiatives undertaken in FY 2009 was that of Federal Hiring Reform. In response to the OPM and OMB mandate to improve the hiring process, the Department formed a Hiring Reform SWAT Team comprised of component representatives from the DoD functional communities as well as representatives from the DoD HR community. As a result of the considerable efforts of the Hiring Reform SWAT, FY 2009 deliverables included mapping of the DoD hiring process to the OPM End-to-End hiring model; identification of hiring barriers; and development of an Action Plan (see Appendix L of this report).

#### Goal 4 Accountability

Assessment of progress toward meeting the objectives of Goal 4 was accomplished through analysis of the results of the HR Satisfaction Index in the DoD Status of Forces Survey for Civilians (SOFS-C). The HR Satisfaction Index consists of eight questions designed to assess the extent to which employees believe that their organizational culture promotes improvements in HR processes, products, and services. Results of the 2009 SOFS-C indicate gradual improvement in the positive responses for four of the eight items on the index. However, decline is at a steady state for responses on five of the eight items (anywhere from one to five percent), indicating low satisfaction with overall HR servicing from the baseline year. Findings show a moderate increase in levels of satisfaction with the timeliness and overall satisfaction with personnel services received from the SOFS-C 2008 administration. Satisfaction with the availability and quality of HR services via the internet generated the highest positive scores (ranging from 70-72 percent); however, satisfaction continues to decline (five percent) for HR technology efforts from the baseline year.

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# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### GOAL 4: ENTERPRISE HR SUPPORT

The most dramatic increase (seven percent) from the SOFS-C 2008 administration was for the timeliness of personnel services received. Satisfaction with the quality and availability of services from a centralized location has consistently received the lowest satisfaction scores from a steady state of 39 percent over the last four years.

The success indicator for Goal 4 is that annual progress will be achieved to improve customer satisfaction with HR services at or above 70 percent on the HR Customer Satisfaction Index. With the overall satisfaction with HR services at 58 percent, there is room for improvement in all aspects of HR servicing; particularly when services are delivered from a centralized location. Results from the SOFS-C will serve as inputs to and provide additional focus for the strategic human capital planning process.



# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### ACCOUNTABILITY AND COMPLIANCE

A vital component of OPM's HCAAF, the accountability system contributes to agency performance by establishing a means of evaluating and monitoring the results of human capital management policies, programs, and practices. By vigorously assessing the results of its human capital management program through CHCAS evaluations, and conducting ad-hoc reviews of specific human capital initiatives, the Department identifies which strategies are effectively supporting a high performing workforce and where adjustments may be needed. In this manner, CHCAS results serve as inputs into the overall civilian human capital strategic planning effort.

The CHCAS provides objective metric based feedback to senior leaders concerning the human capital management of the Department's appropriated fund civilian personnel and progress against the civilian human capital goals and objectives. Analytics include data development and analysis of agency unique metrics, analysis of the OPM required metrics, analysis of the DoD annual civilian survey, the biennial FHCS, and enterprise-wide program reviews. CHCAS reviews are conducted by the Civilian Personnel Management Service (CPMS) on behalf of DoD.

Table II-1 shows the thirteen major CHCAS-related actions completed by DoD in FY 2009.

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## FY 09 Human Capital Management Report Executive Summary

**TABLE II-1: FY 2009 ACCOUNTABILITY ACTIONS**

DoD FY 2009 Accountability Actions
Action 1: Develop a draft refresh of the DoD CHCSP.
Action 2: Implement the CHCAS FY 2009 HC evaluation plan.
Action 3: Perform Compliance Reviews in support of the HC evaluation plan.
Action 4: Review the Priority Placement Program.
Action 5: Review the Training Program.
Action 6: Perform Competitive Examining Audits in support of the HC evaluation plan.
Action 7: Use Balanced Scorecard measures to monitor the status of the civilian workforce.
Action 8: Monitor and close out current and previous year required actions.
Action 9: Develop the HCMR for FY 2009.
Action 10: Indicate positive outcomes and suggested outstanding items.
Action 11: Implement formal documented CHCAS Program Evaluation processes.
Action 12: Conduct an offsite to revise the CHCAS program evaluation process based on stakeholder feedback.
Action 13: Communicate results and market the CHCAS.



# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### ACCOUNTABILITY AND COMPLIANCE

In accordance with the multi-year evaluation schedule, the FY 2009 CHCAS organizational focus was the U.S. Army and the topical focus was leader development. For FY 2009, the review team employed a modified site determination methodology focused on a major command and its major subordinate commands. This methodology allows the review team to validate the cascading of performance goals throughout the organization and review the organization in a broad context to identify trends in all assessed areas. After quantitative and qualitative analysis, the CPMS team determined as the largest Army Major Command, the Army Materiel Command (AMC) would be the organization reviewed for FY 2009.

A holistic approach was used to provide a broad cross-section of the AMC. The visits included reviews of AMC's headquarters element and ten organizations within three subcommands: Army Aviation & Missile Life Cycle Management Command; TACOM Life Cycle Management Command; and Army Research Development and Engineering Command. In order to accomplish a thorough evaluation process meeting OPM HCAAF requirements, 11 evaluations were completed by the third quarter of FY 2009.

At the end of each evaluation cycle, results of the evaluation - to include identification of both required and recommended actions and timelines for completion of the actions - are provided to the evaluated organization's leaders, decision makers, and stakeholders. In addition, CPMS provides a comprehensive report to the OUSD (P&R) addressing the findings, and the required and recommended actions for the organizations evaluated. Analysis of the evaluation cycle data guides the transmittal of information papers addressing existing, emerging, or potential issues to various divisions of CPMS for resolution.

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# CHAPTER 11

## FY 09 Human Capital Management Report Executive Summary

### ACCOUNTABILITY AND COMPLIANCE

The results of DoD's CHCAS are factored into the annual refresh of the DoD CHCSP. This is evidenced by the impact of CHCAS results on the development of a number of initiatives during the FY 2009 refresh of the DoD CHCSP. These initiatives include the development of enterprise wide success indicators for each of the DoD CHCSP goals, refreshing the DoD MCOs, recruitment and retention policies targeting critical medical professions, in-sourcing for Inherently Governmental Positions, and a new policy with a supporting structured system for workforce requisition, development, and retention.

### SUMMARY

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Information provided in the HCMR informs the Department's senior leaders and management team on the success of their current workforce strategies and helps them identify requirements for the future. The Report gives visibility to efforts throughout the enterprise, thus leveraging successful practices and furthering cooperation and collaboration among the numerous entities that compose DoD. It also serves as an input to the strategic human capital management planning process.

Initiatives, actions, and results presented in the HCMR are only a fraction of those underway throughout DoD in the Components, Defense Agencies, and numerous Defense Activities and Organizations. While many efforts are decentralized and address specific organizational needs and mission, they are all in support of the enterprise as a whole and ultimately serve to further the single goal of effective management of human capital in the Department of Defense. Our hope is that this document will increase insight and understanding of the complexities and challenges faced by "the largest organization in the world" (as quoted by William J. Lynne, III, Deputy Secretary of Defense, in the remark prior to this Executive Summary) and further appreciation of the Department's steadfast commitment to achieving the goals of the CHCSP.

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# CHAPTER 12

## FY 09 Human Capital Management Report Good News Stories

### APPENDIX C: GOOD NEWS STORIES



# CHAPTER 12

## FY 09 Human Capital Management Report Good News Stories

### APPENDIX C: GOOD NEWS STORIES

#### Appendix C: Contents:

1. Department of the Navy's Benefit Center Results in HR Process Improvements
2. Department of the Navy Expands Alternate Dispute Resolution
3. DFAS Supports Mission Critical Occupations with specialized Professional Development, "Leaders in Motion"
4. DISA recognized for BRAC Information Portal
5. Air Force Global Logistics Center (AFGLSC) Rolls Out Competency-based Certification Program
6. U.S. Army Research, Development and Engineering Command, (ARDEC) recognized in International Benchmarking Study for work in Strategic Workforce Planning
7. The Department of the Navy (DON) Conducts Research and Assessment of Work/Life Programs
8. DISA Telework is Proving an Effective Tool for the Department's Base Realignment and Closure (BRAC) Commands



# CHAPTER 12

## FY 09 Human Capital Management Report Good News Stories

### DEPARTMENT OF THE NAVY'S CONSOLIDATED BENEFIT CENTER RESULTS IN HR PROCESS IMPROVEMENTS

In 2005, the Department of Navy (DON) consolidated all benefits processing in one location by establishing the DON Civilian Benefits Center (CBC) at the Human Resources Service Center (HRSC) East, Portsmouth, VA. A competency based approach was utilized with the goal to provide a consistent level of service to all customers, ensure optimal resourcing of benefits operations, leverage the ability to balance workload through centralized control, improve program quality, and eventually reduce staffing levels to realize savings in labor expenditures.

The successful establishment of the DON CBC continues to have DON-wide impact. Four years since implementation, the evidence shows processes have been streamlined and employees are getting retirement estimates and annuities faster. Satisfaction with these services is high as evidenced by scores on internal as well as corporate surveys.

#### Key Statistics

- Ninety-eight percent of retirement estimates are completed within 30 days (average is 10 days). **Exceeds standard of 85 percent.**
- Ninety-nine percent of customers rate service as highly satisfactory or better (77 percent outstanding, 22 percent highly satisfactory). **Exceeds industry standard of 80 percent.**



# CHAPTER 12

## FY 09 Human Capital Management Report Good News Stories

### DEPARTMENT OF THE NAVY'S CONSOLIDATED BENEFIT CENTER RESULTS IN HR PROCESS IMPROVEMENTS

- Ninety-four percent of retirement packages are sent to the Office Personnel Management (OPM) within 30 days. **Exceeds OPM standard of 80 percent.**
- The CBC consistently receives the highest satisfaction rating of all functional areas on DON Customer Engagement Surveys.

#### Best Practices/Benchmarking

- OPM adopted DON's Death and Disability processing model as a best practice in 2009.
- In 2008, the DON CBC designed and piloted a program with the support of the Defense Finance and Accounting Service and OPM to consolidate the SF2806 and the retirement application and send the packages directly to OPM. As a result, annuitants are receiving their full checks approximately 30 days faster. This streamlined process has been highly touted by DFAS and OPM.
- Demonstrating both a commitment to operating in a joint environment and dedication to the highest standards of customer service, in 2008 the CBC began providing benefits services to over 5,000 Civilian Mariners employed with the Military Sealift Command and also to the Tricare Management Agency - employees not normally serviced by the CBC.

The DON Civilian Benefits Center, HRSC East is a model program that is serving to inspire other components and agencies.

# CHAPTER 12

## FY 09 Human Capital Management Report Good News Stories

### DEPARTMENT OF THE NAVY EXPANDS ALTERNATIVE DISPUTE RESOLUTION

The DON offers Workplace ADR services to all its civilian employees. Using mediation as the primary method of practice, other services include facilitation of NSPS Reconsideration requests and management/employee concerns when conduct and performance issues arise. The DON supports using ADR at the lowest organizational level and earliest stages of a significant workplace concern. The use of ADR is expected at all stages of EEO cases, Administrative Grievances and as designated in collective bargaining agreements. Workplace concerns cover various issues such as: communication, reasonable accommodation, telework, classification and significant peer to peer disputes. To provide well-trained practitioners, DON has implemented a Mediator Certification Program. To participate in mediation, civilian employees as well as supervisors may use the "NEED A DON MEDIATOR" website feature to obtain services.

FY 2009 EEO and Workplace cases were resolved or not pursued 70 percent of the time. The average time to resolution is 25 days. Eight out of 10 participants reported that mediation helped them become better aware of the other party's concerns. Participants stated they would recommend mediation to others 89 percent of the time. Statistics to date show 100 percent of those responding to assessments believed their Department of the Navy mediator was professional.

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## FY 09 Human Capital Management Report Good News Stories

### DEPARTMENT OF THE NAVY EXPANDS ALTERNATIVE DISPUTE RESOLUTION

The Workplace ADR Program was a proud recipient of the OPM Director's Award for Outstanding ADR Programs. It is one of the most recognized Workplace ADR Programs in the Federal government. Funded by the Office of General Counsel's ADR Program and implemented through the Office of Civilian Human Resources, the Workplace ADR Program manages the DON Mediator Certification Program and sets the criteria for a four tier certification process. Tier I and II require a minimum of 20 hours of basic mediation training and 16 hours of advanced mediation training with an emphasis on role play. Currently DON provides a 40 hour course that exceeds the standard. Tier III is a pass/fail screening and evaluation of each mediator candidate's demonstrated knowledge, skill and ability in the use of the DON Mediation Model. A two day refresher is provided to the candidates prior to their Tier III appointments. Tier IV is a minimum of 3 mentored mediations conducting real cases. All phases of the certification provide intense feedback to enable the growth and development of the mediators seeking certification.

HRSCs and Human Resource Offices (HROs) collaborate to provide ADR services such as training, convening and assigning DON Certified Mediators to cases. ADTracker is used to track cases, schedule ADR services, provide documents used for mediation, maintain mediator home pages and generate real time statistics used for the Annual DoD ADR Report. HROs are eligible to earn annual recognition for having a local ADR system in place by meeting four criteria. The four criteria are sufficient staff with training in ADR convening; promotion of conflict management techniques; use of best practices in facilitative mediation; and tracking and reporting of ADR events.

# CHAPTER 12

## FY 09 Human Capital Management Report Good News Stories

### DFAS SUPPORTS MISSION CRITICAL OCCUPATIONS WITH SPECIALIZED PROFESSIONAL DEVELOPMENT, “LEADERS IN MOTION”

The DFAS Leaders in Motion (LIM) Program is designed for the following occupational series (both DoD and government-wide): 510, 511, 501, 560, 201, 2210, 343, and 1102. The program consists of four, six-month rotations, with the first rotation in operations - field level accounting for accountants or entitlements area for financial analysts. The second to fourth rotations are based on the associate's choice coupled with Agencies needs. Examples include Financial Statements, BRAC site, Military Pay, Vendor Pay, Systems, Disbursing, SBM, With a Customer, and Internal Review. Some disciplines (e.g., IT associates) may have fewer rotations.

**The following training is ongoing throughout the program:**

- Coaching/mentoring
- Training classes
- Special/challenging projects
- Site/customer visits
- Annual leadership development/networking conferences with peers
- Leadership opportunities
- Monthly professional association meetings encouraged
- Monthly meetings with senior managers and peers
- Regular topical briefings with “hot” Agency topics
- Emphasis on Project Mgmt



# CHAPTER 12

## FY 09 Human Capital Management Report Good News Stories

### DFAS SUPPORTS MISSION CRITICAL OCCUPATIONS WITH SPECIALIZED PROFESSIONAL DEVELOPMENT, "LEADERS IN MOTION"

In FY 2007, two concentrations were added to the LIM - General Management and Business Analyst. Assessment occurs at month 23 to determine area of concentration.

At the end of FY 2009, the internal retention rate for the program was 74 percent. Looking at retention from the enterprise perspective (including those that moved to other areas within DoD due to BRAC), the retention rate increased to 90 percent.

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### DISA RECOGNIZED FOR BRAC INFORMATION PORTAL

The Defense Information Systems Agency (DISA) was selected for the "Best Government Web Site Award," 2009, by the Web Marketing Association.

As a result of the 2005 Base Realignment and Closure Commission (BRAC) recommendation, DISA will be relocating its headquarters from Arlington, VA to Ft. Meade, MD by September 2011. With over 4,300 employees affected, most of whom live within Northern Virginia; the DISA workforce faced some major decisions over the past year. To assist its employees in their decision-making process, DISA launched the BRAC Information Portal in October 2008. The BRAC Information Portal represents the agency's efforts to provide staff, their families, and new neighbors and partners with a comprehensive online resource to feed decision making processes and provide real-time updates on various BRAC initiatives. Beyond delivering information, the site also incorporates interactive elements to encourage collaboration among staff members. The "Message Boards" are hosted on DKO, a defense community knowledge management portal, and offer staff the capability to discuss various topics; including neighborhoods of interest, real estate services, and commuting.

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## FY 09 Human Capital Management Report Good News Stories

### DISA RECOGNIZED FOR BRAC INFORMATION PORTAL

Prior to the launch of the BRAC Information Portal, when DISA staff needed BRAC information, they used an intranet site that functioned as a document repository. Usage of the site was low, it was difficult to navigate, and it provided limited information. The BRAC Information Portal represents a dramatic improvement. The content is organized in a user-centered manner, written in plain English, and is routinely updated. Furthermore, employees are provided interactive capabilities so they can collaborate on issues surrounding the relocation.

From a qualitative perspective, the site has been well received by all audiences. The feedback received over the past year has been overwhelmingly positive. Furthermore, the Web Marketing Association recognized the portal as the “Best Government Web Site of 2009” and it won a “Gold Screen Award” from the National Association of Government Communicators (NAGC). Both awards recognized the design, content, usability, and innovative nature of the site.

From a quantitative perspective, the site has averaged 650 unique visitors a week over the past six months, which is a 27 percent increase over the first six months. Visitors are spending, on average, 18 minutes on the site; from which we can infer that they are not just browsing the site - they are consuming the information provided and using it to feed their decision making process. Finally, the site is reaching a diverse audience. A majority of the visitors are coming from the DISA domain, northern Virginia Internet Service Providers, and from various commercial enterprises; from which we can surmise that we are reaching our target audiences (staff, their families, and our new neighbors and partners).

# CHAPTER 12

## FY 09 Human Capital Management Report Good News Stories

### AIR FORCE GLOBAL LOGISTICS CENTER (AFLGSC) ROLLS OUT COMPETENCY-BASED CERTIFICATION PROGRAM

One of the leading strategic goals of the Air Force Global Logistics Center (AFLGSC) is to develop a professional, certified Supply Management (SM) workforce. To meet that challenge, the AFLGSC Workforce Strategy Team (WST) has developed a competency-based AFLGSC SM Certificate Program inclusive of education, training, experience, and assessment requirements. The SM Certificate Program is poised to cultivate a leading AFLGSC SM workforce in accordance with DoD and industry best practices. This program not only offers a premier certification opportunity to individual employees, but also provides a career development roadmap to guide them from Journeyman to Senior Executive Service (SES). In June 2009, the WST initiated a pilot for the SM Certificate Program to test the process and make the appropriate adjustments prior to deployment.

The program is made up of Technical, Fundamental, and Leadership and Management competencies. The Technical competencies are defined at Levels one through five, and the Fundamental and Leadership and Management competencies are defined at the Foundation, Experienced, and Advanced levels. Currently, the training required to establish a foundation level of understanding for all of these competencies is included in the Supply Chain Management (SCM) Training Templates. The SCM Training Templates have been formatted to align training requirements directly to the three sections: Technical, Fundamental, and Leadership and Management. Completing these training requirements fulfills one of the requirements necessary to achieve certification. Additionally, the completion of a checklist or a written documentation tool is required to demonstrate an individual's competencies. Supervisor approval and/or supervisor endorsement to a panel are also required for certification. Desired levels of education and Professional Military Education (PME) have been identified, but are not a requirement for certification.

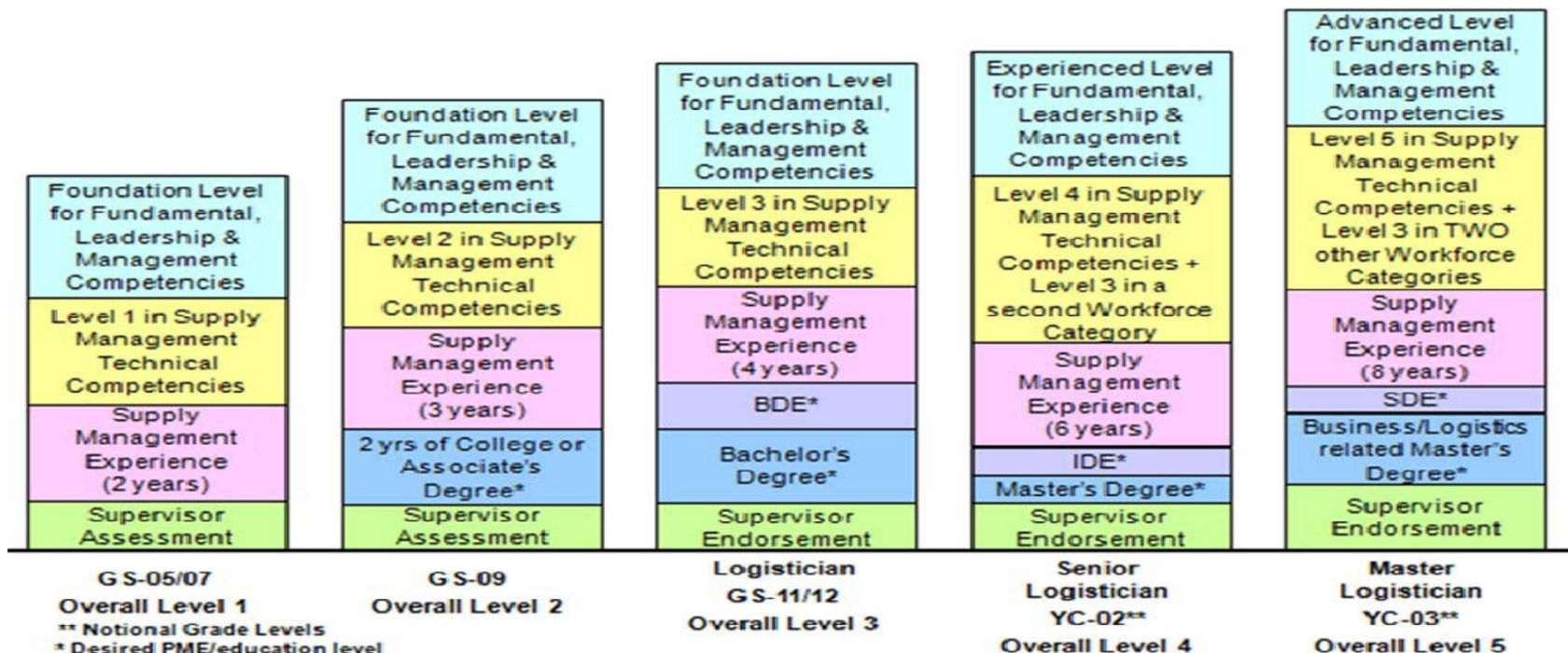


# CHAPTER 12

## FY 09 Human Capital Management Report Good News Stories

### AIR FORCE GLOBAL LOGISTICS CENTER (AFGLSC) ROLLS OUT COMPETENCY-BASED CERTIFICATION PROGRAM

The following illustration shows the certification level requirements for the AFGLSC SM Certificate Program



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## FY 09 Human Capital Management Report Good News Stories

### AIR FORCE GLOBAL LOGISTICS CENTER (AFGLSC) ROLLS OUT COMPETENCY-BASED CERTIFICATION PROGRAM

In order for employees to become certified at an applicable level in the AFGSLC SM Certificate Program, they must follow the process to apply for certification. Depending on the certification level the employee intends to apply for, the employee's supervisor or a leadership-appointed panel will review an employee's qualifications and determine the certification level.

Employees need to periodically review their career briefs to ensure all experience, training, and education levels are accurate and up to date. The career brief, Training Scheduling System (TSS), or Education and Training Management System (ETMS) will be used to validate prior training. Applicants are encouraged to work with their Workforce Development Office to validate and input any missing training or experience requirements.

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### U.S. ARMY RESEARCH, DEVELOPMENT AND ENGINEERING COMMAND, (ARDEC) RECOGNIZED IN INTERNATIONAL BENCHMARKING STUDY FOR WORK IN STRATEGIC WORKFORCE PLANNING

U.S. Army Armament Research, Development, and Engineering Center (ARDEC) was one of six Best-Practice (BP) organizations selected for participation in a consortium benchmarking study sponsored by the American Productivity and Quality Center (APQC) - an internationally recognized non-profit organization having the leadership position in providing expertise in benchmarking. APQC is the nation's largest repository of best practices, and a Malcom Baldrige Award creator and sponsor.

# CHAPTER 12

## FY 09 Human Capital Management Report Good News Stories

### U.S. ARMY RESEARCH, DEVELOPMENT AND ENGINEERING COMMAND, (ARDEC) RECOGNIZED IN INTERNATIONAL BENCHMARKING STUDY FOR WORK IN STRATEGIC WORKFORCE PLANNING

The scope of the research in the benchmarking study, *"Strategic Work Force Planning: Anticipating and Filling Talent Gaps,"* published in March 2009, included:

- Identifying talent gaps;
- Implementing the corresponding analytics required for effective workforce planning; and
- Leveraging strategies to increase the effectiveness of organizations' existing workforces.

#### ARDEC's strategic workforce planning highlights included:

- Seeking candidates who have science, technology, engineering, and math (STEM) knowledge and skills, and once hired, receiving additional training through ARDEC's onsite Armament University
- Linking employees to human capital information through ARDEC's human capital learning portal. Its purpose is to help employees fill knowledge gaps, ramp up quickly, and leverage existing partnerships and research.
- Leaders showing support through face time – simple and effective.
- Using work force analytics software technology from the U.S. Army Career Acquisition Program Management Information System database and other data collection vehicles
- Measuring the effectiveness of the workforce using the ARDEC Talent Maturity Audit and the Talent Leadership Assessment, that uncovers what the organization's leaders really know about human capital and talent management. Benchmarking and external assessments such as the Baldrige criteria and Capability Maturity Model integration are additional tools used to evaluate ARDEC's human capital management efforts. Internal metrics often come from Lean Six Sigma projects, which have measures built into them.

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# CHAPTER 12

## FY 09 Human Capital Management Report Good News Stories

### THE DEPARTMENT OF NAVY (DON) CONDUCTS RESEARCH AND ASSESSMENT OF WORK/LIFE PROGRAMS

The DON recognizes that Work/Life Programs for civilian employees provide a very high return on investment that adds significant value to the DON as evidenced by research and assessment of Work/Life programs. On employee satisfaction surveys, employees continually identify work place flexibility and work/life programs and wellness programs as the most important part of selecting a job, rating it higher than compensation. Evaluating, integrating, and improving work/life programs are an important strategy in improving recruitment and retention. Other return on investment value for work/life and wellness programs includes reduced employee health care costs, reduced employee absenteeism and leaves usage, reduced turnover costs, reduced recruitment costs, reduces training costs, organizational knowledge retention, and increased

employee productivity and fitness for duty. In FY 2009, the DON Office of Civilian Human Resources (OCHR) Work/Life Program increased its efforts to determine if they have kept pace with changes in the workforce, to increase employee satisfaction and wellness, and to assist in recruiting the best talent.

#### **DON civilian Work/Life noteworthy program initiatives include:**

■ Implementing 16 telework demo projects in major and sub commands with mission essential and hard to recruit occupations; working in conjunction with the only and award winning active duty telework program to increase the recruitment pool beyond local areas; support pandemic flu and emergency preparedness; and increase employee job satisfaction. DON preceded the demo projects with a large educational campaign to educate supervisors and managers on telework eligibility and the application process.

# CHAPTER 12

## FY 09 Human Capital Management Report Good News Stories

### THE DEPARTMENT OF NAVY (DON) CONDUCTS RESEARCH AND ASSESSMENT OF WORK/LIFE PROGRAMS

- Evaluated all civilian mental health programs offered through the employee assistance programs (EAPs) to examine program coverage, cost effectiveness, and uniform application, and developed an action plan to centralize the EAP services to improve program quality and costs through volume purchasing.
- Improved program and visibility by consolidating DON resources, including on line training and marketing tools into a “one stop shop” to find services and information quickly and easily.

By offering civilian employees a broad range of services, and by opening up active duty programs to civilian employees, OCHR has coordinated with other DON organizations to offer a holistic approach to wellness. Services include, but are not limited to, vaccinations; some medical screening; free gym memberships; access to all military recreational activities, restaurants, and lodging; health fairs; extensive health and safety programs; fitness classes; fitness and health coaching; food labeling; healthy vending options; and allowing exercise during duty time. It should be noted that the DON holistic approach to employee wellness was in place prior to this administration’s 2009 Wellness Initiative for Federal Employees.



# CHAPTER 12

## FY 09 Human Capital Management Report Good News Stories

### **DISA TELEWORK IS PROVING AN EFFECTIVE TOOL FOR THE DEPARTMENT'S BASE REALIGNMENT AND CLOSURE (BRAC) COMMANDS**

Telework is proving an effective tool for the Department's BRAC commands. As an example, in 2008, the DISA Director issued a policy increasing the number of days employees could telework from two days to three days per week, totaling six days per pay period. The expansion of the program, array of support tools available to managers and employees that facilitate work in a virtual environment, and visible leadership backing for telework provides DISA the support needed to retain and recruit a highly skilled workforce under BRAC. With 76 percent of the DISA workforce living in the Northern Virginia area, a solid strategy was needed for the retention of an experienced, well qualified workforce transitioning to the Fort Meade location. It was determined that the expansion of the telework program would serve as an excellent tool for both recruitment and retention.

In a 2009 survey of DISA employees, 58 percent of those who responded to the survey reported that they would accept a transfer to Fort Meade as compared to 29 percent who reported willingness to accept a transfer in 2005. Seventy-five percent of DISA employees reported that the option to telework effects their decision to continue to work with DISA. The telework program serves as an excellent tool for both recruitment and retention at the agency.

# CHAPTER 13

## DoD Human Resources Professional Career Framework

### DoD HUMAN RESOURCES PROFESSIONAL CAREER FRAMEWORK



## HR Career Framework Quick Reference Guide

[www.cpms.osd.mil/fas/hrpcf](http://www.cpms.osd.mil/fas/hrpcf)

### Purpose

Quick Reference Guide provides a portable summary of the aspects of the framework. For full details, see:  
[www.cpms.osd.mil/fas/hrpcf](http://www.cpms.osd.mil/fas/hrpcf)

### What is the HR Career Framework?

CPMS has developed the Framework to support the changing tactical and strategic roles of the civilian HR business advisor serving in a pay-for-performance environment. It offers a vision of the emerging roles and competencies required to deliver quality HR support and advice in the future.

Role	Focus
HR Specialist	This role is tactical and focuses on the skills needed to perform the traditional HR services delivery activities.
HR Advisor	This role focuses on the advisory portion of the position as well as the development of the strategy focus.
HR Strategic Advisor	This role focuses on the strategic aspects of the position supporting the workforce and the organization.

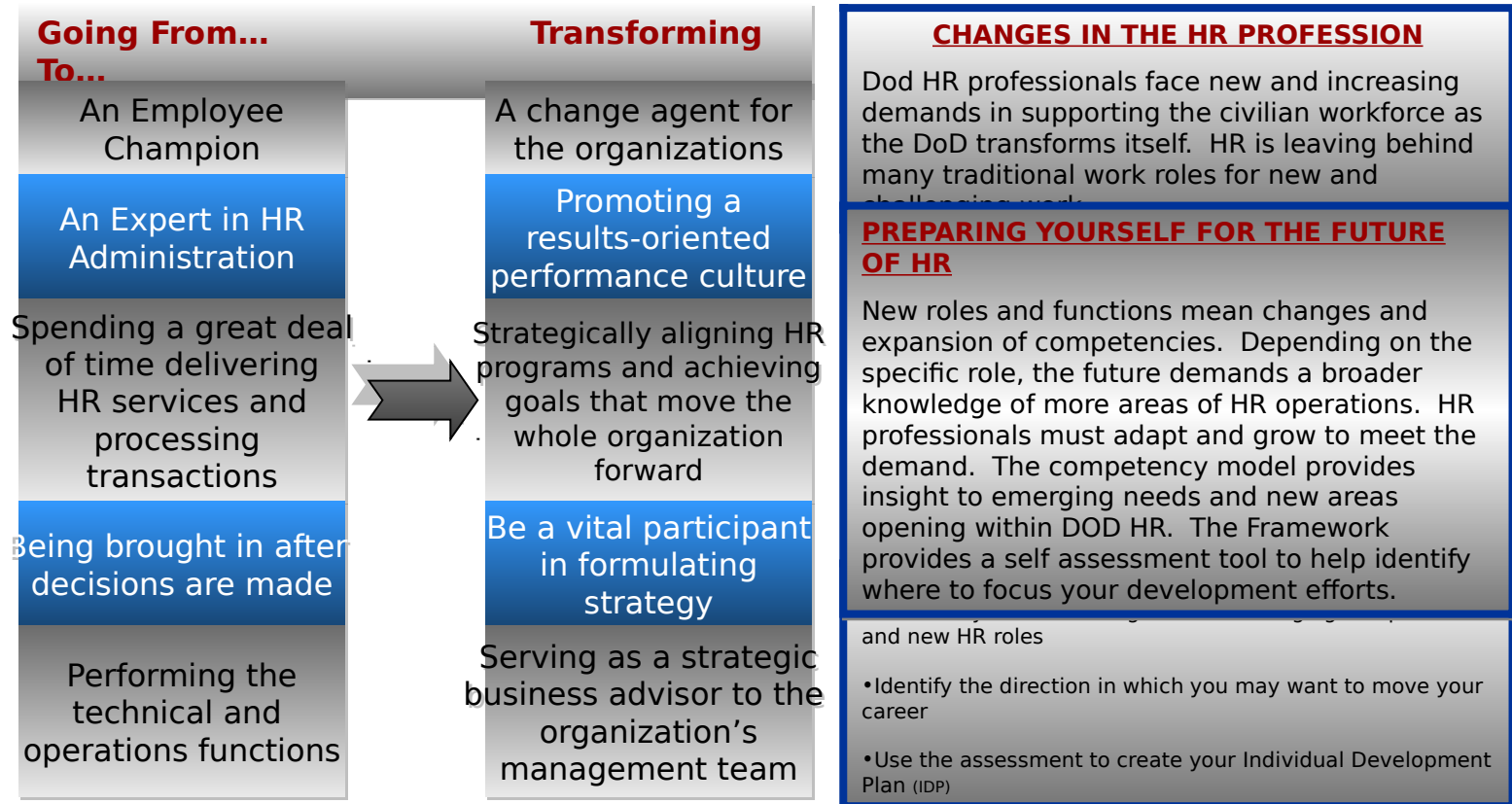
### **All HR Professionals in all roles must learn to:**

1. Challenge the status quo thinking
2. Push for positive change that leads to results oriented outcomes
3. Continuously examine existing systems, practices and procedures for improved organizational performance

# CHAPTER 13

## DoD Human Resources Professional Career Framework

### DoD HUMAN RESOURCES PROFESSIONAL CAREER FRAMEWORK



# CHAPTER 13

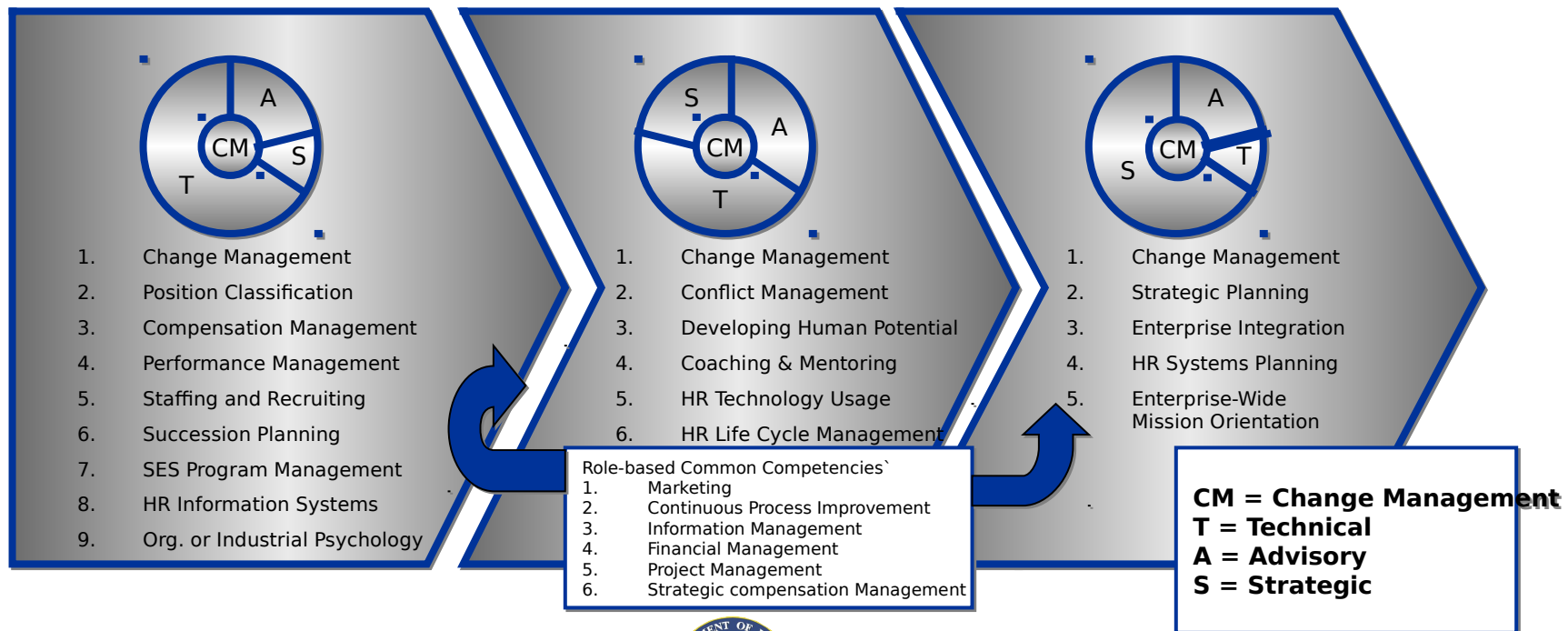
## DoD Human Resources Professional Career Framework

### DoD HUMAN RESOURCES PROFESSIONAL CAREER FRAMEWORK

#### HR CAREER COMPETENCY MODEL

The competency graphic below depicts the distribution of competencies among the three HR professional roles. The results of the self assessment tell you which competencies apply to you.

[www.cpms.osd.mil/fas/hrpcf/assessingYourStanding.aspx](http://www.cpms.osd.mil/fas/hrpcf/assessingYourStanding.aspx)





# CHAPTER 13

## DoD Human Resources Professional Career Framework

### DoD HUMAN RESOURCES PROFESSIONAL CAREER FRAMEWORK

#### BUILDING HR COMPETENCIES

A DoD HR competency model has been developed to identify the roles, competencies, and proficiency levels for the DoD HR Professional.

The competency model is a set of success factors that include the key behaviors required for excellent performance in a particular role.

- Describes work and jobs in a broader way
- Identifies core capabilities required of any HR Professional

All DoD components can use the DoD HR Competency Model to:

- Describe the kinds of workers needed in the HR profession
- Manage the performance of existing employees
- Design HR career training and development programs
- Improve employee recruitment and selection

#### OPPORTUNITIES WAIT

Manage the training and development challenges and opportunities for the HR Professional in DoD's ever changing business environment.

Information to start building your development plan is available on:

- Internal courses
- External courses
- Organizations offering certifications in the field of HR

For more information, go to:

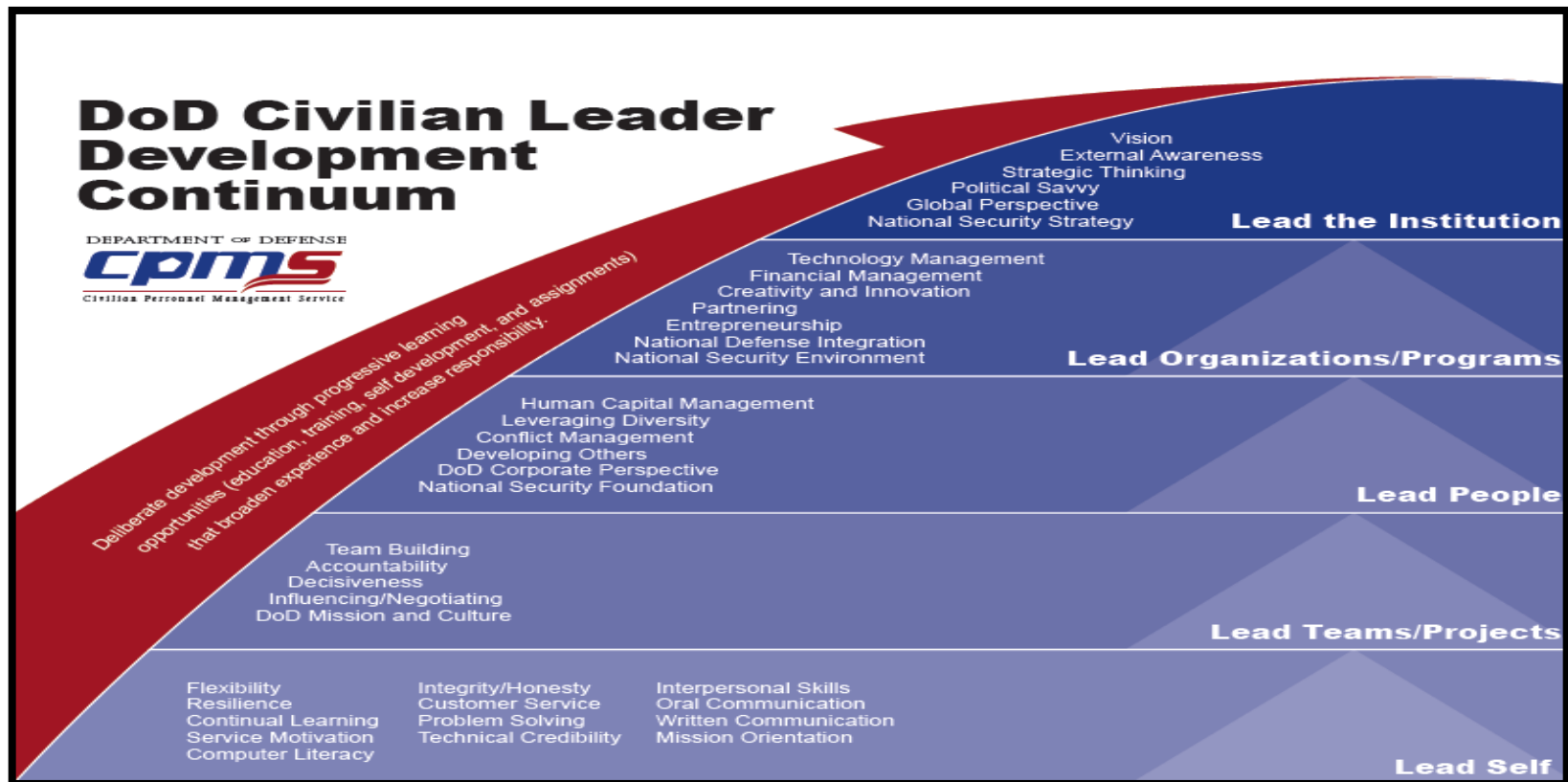
[www.cpms.osd.mil/fas/hrpcf/findingopportunities.aspx](http://www.cpms.osd.mil/fas/hrpcf/findingopportunities.aspx)

For more details on the Competency Model, go to the webpage. You'll find descriptions, characteristics behaviors, attributes, and skills associated with each competency together with a breakdown by 5 different levels of proficiency.

# CHAPTER 14

## DoD Civilian Leader Development Framework and Continuum

### DoD CIVILIAN LEADER DEVELOPMENT FRAMEWORK AND CONTINUUM

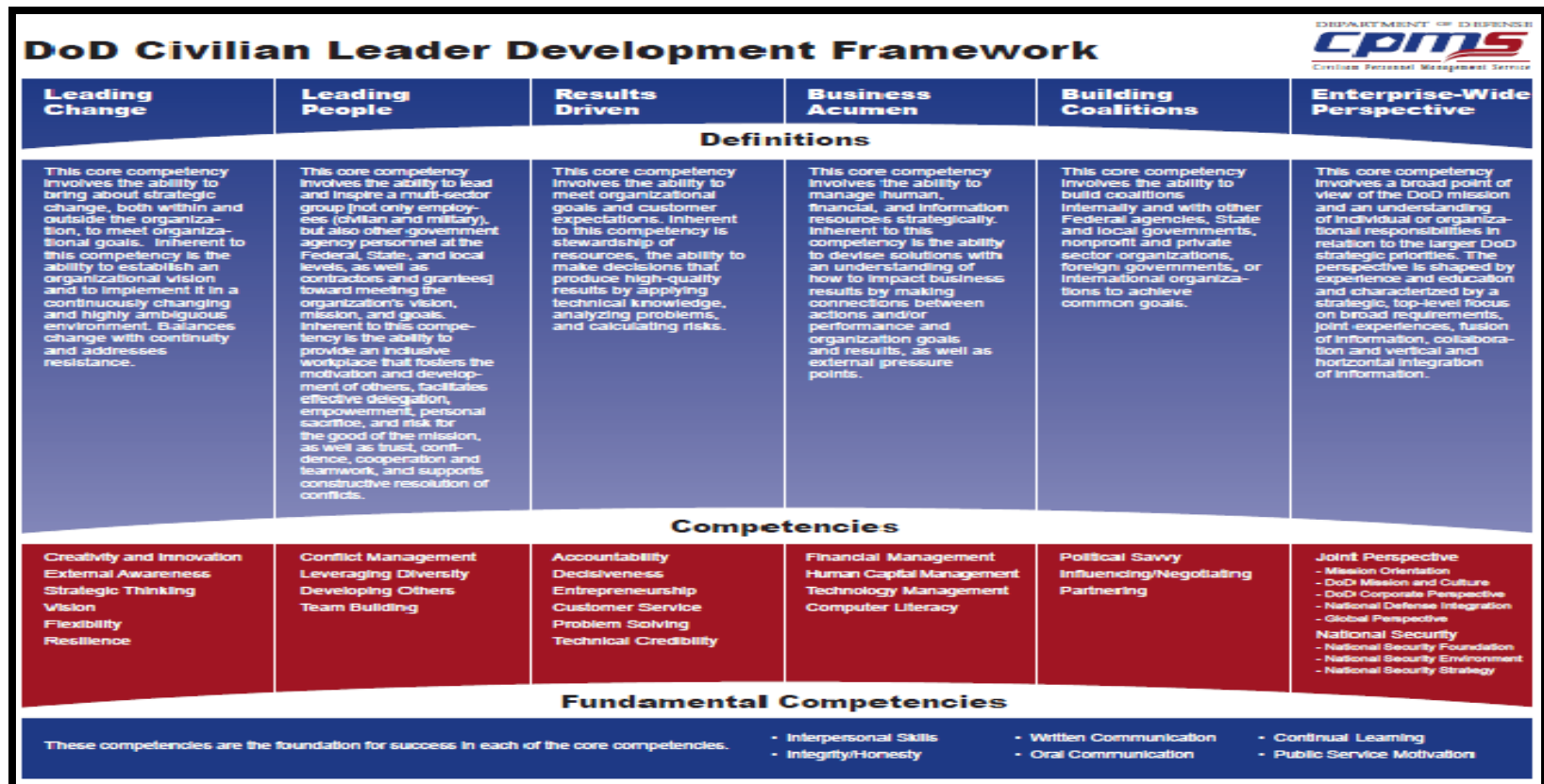


[Click Here](#) or the Image for Full View

# CHAPTER 14

## DoD Civilian Leader Development Framework and Continuum

### DoD CIVILIAN LEADER DEVELOPMENT FRAMEWORK AND CONTINUUM

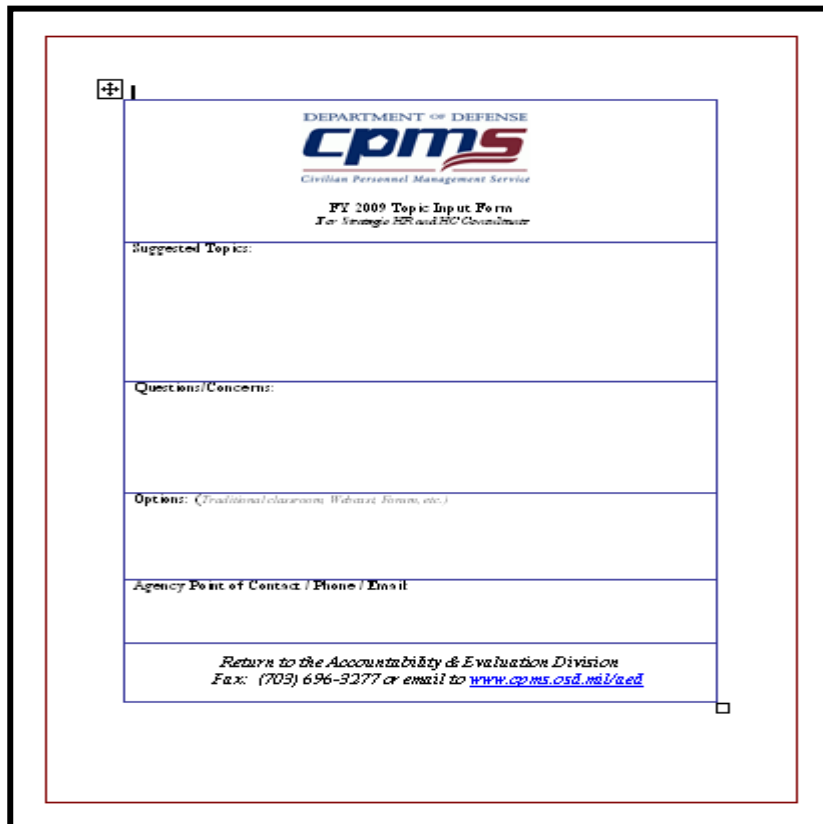


[Click Here](#) or the Image for Full View

# CHAPTER 15

## Human Capital Suggestion Form

### HUMAN CAPITAL SUGGESTION FORM



The form is titled "DEPARTMENT OF DEFENSE cpms Civilian Personnel Management Service". Below the title is the subtitle "FY 2009 Topic Input Form For Strategic HR and EO Compliance". The form contains four main sections: "Suggested Topics:", "Questions/Concerns:", "Options: (Traditional/classroom Webnet Forum, etc.)", and "Agency Point of Contact / Phone / Email". At the bottom, it provides the return address: "Return to the Accountability & Evaluation Division Fax: (703) 696-3277 or email to [www.cpms.osd.mil/aed](mailto:www.cpms.osd.mil/aed)".

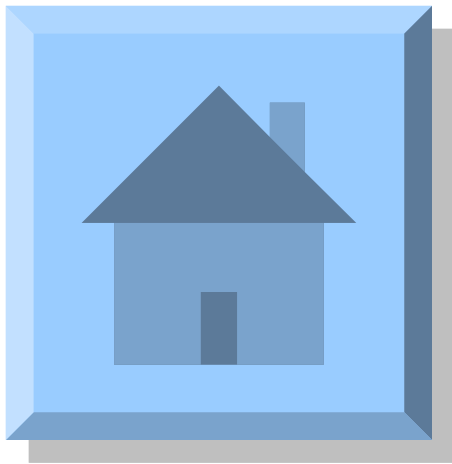
### Human Capital Suggestion Form

Purpose: FEEDBACK

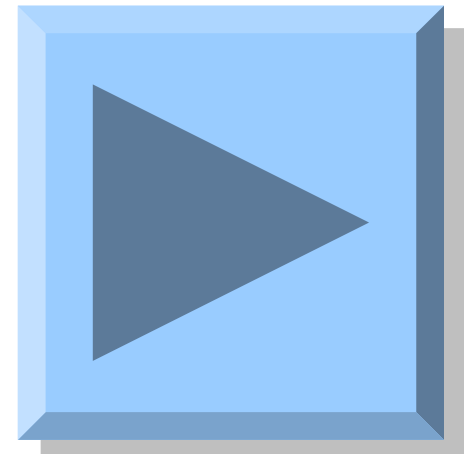
We want to hear your suggested topics. If you have any suggested topics, please submit the form and send it to CPMS, Accountability and Evaluation Division AED.

For more information, [Click Here](#) or click image.

# CHOOSE OPTIONS BELOW TO PROCEED



**<<CLICK HOME BUTTON  
TO PROCEED BACK TO  
HOME**



**CLICK FORWARD BUTTON >>  
TO ADVANCE TO THE  
“EXECUTIVE FACTBOOK”**



# EXECUTIVE FACT BOOK

## CIVILIAN SUPPORTING THE DEPARTMENT OF DEFENSE

### FISCAL YEAR 2008

#### FACT BOOK CONTENTS:

- Overview and Notes
- Acronyms
- Definition and Terms
- DoD Strength
  - By Type of Appointment & Component
  - Overview
- Typical DoD Civilian
  - Civilian Employment Profile By Education
  - Civilian Employment Profile By Ethnicity
  - Civilian Employment Profile By Bargaining Unit Status
  - Civilian Employment Profile By Years of Federal Civilian Service and Age

CLICK HERE TO  
ADVANCE TO ADDITIONAL  
FACT BOOK CONTENTS



# EXECUTIVE FACT BOOK

## CIVILIAN SUPPORTING THE DEPARTMENT OF DEFENSE

### FISCAL YEAR 2008

#### FACT BOOK CONTENTS CONTINUED:

- **Typical DoD Senior Leader**
  - **DoD Senior Leader Profiles By Component**
  - **DoD Senior Leader Profiles By Gender**
  - **DoD Senior Leader Profiles**
  - **DoD Senior Leader Profiles By Race and Ethnicity**
- **Retirement Eligibility**
  - **Eligibility In 5-Year Time Bands by Employment Group**
  - **Workforce Aging in High Grades and Bands**
- **Staffing Sources**
  - **FY 2004 - 2008 Gains**
  - **FY 2008 Gains**
  - **FY 2008 Gains By Sources & Age**

**CLICK HERE TO  
ADVANCE TO ADDITIONAL  
FACT BOOK CONTENTS**

**CLICK HERE TO  
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FACT BOOK CONTENTS**



# EXECUTIVE FACT BOOK

## CIVILIAN SUPPORTING THE DEPARTMENT OF DEFENSE

### FISCAL YEAR 2008

#### FACT BOOK CONTENTS CONTINUED:

##### ➤ Staffing Sources

- FY 2008 Gains: Timing of Hiring Retired Military
- FY 2008: How We Fill Select High Grade Jobs
- FY 2008 Select High Grade Movement and Change Only

CLICK HERE TO  
ADVANCE TO ADDITIONAL  
FACT BOOK CONTENTS

##### ➤ Attrition

- Annual Loss Rates By Appointment & Pay System
- Annual Loss Rates By Occupational Group
- Loss Rates by Years of Service & Group
- Annual Loss Rates By Largest Mission Critical and High Interest Occupations
  - Part 1
  - Part 2

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FACT BOOK CONTENTS





# EXECUTIVE FACT BOOK

## CIVILIAN SUPPORTING THE DEPARTMENT OF DEFENSE

### FISCAL YEAR 2008

#### FACT BOOK CONTENTS CONTINUED:

##### ➤ Attrition

- FY 2008 Loss Rates by Select Occupational Family and Age Groups
- FY 2008 Loss Rates by Age
- Short-Term Retention Issues
- Propensity to Retire
- FY 2004 - 2008 by Nature of Action

CLICK HERE TO  
RETURN TO PREVIOUS  
FACT BOOK CONTENTS



## OVERVIEW

The Civilian Personnel Management Service (CPMS) is pleased to present the Fiscal Year 2008 Annual Department of Defense Civilian Workforce Executive Fact Book (EFB). The intent of this “pocket guide” is to get key data into the hands of decision-makers, in an easily accessible format, to help spur discussion, create better understanding and inform decision-making about the workforce.

Our goal is to continue to monitor these key areas and build a robust set of indicators which can be paired with other information about the workforce, e.g., competencies and other workforce requirements.

We hope the information provided is beneficial. If you have feedback, questions or suggestions for future Executive Fact Books, please contact us at [data-request@cpms.osd.mil](mailto:data-request@cpms.osd.mil) or phone 703-696-8693.

## NOTES

- ✦ Fiscal Year (FY) data for FY 2008 covers the 12-month period October 1, 2007 through September 30, 2008.
- ✦ All fiscal years assume October 1 - September 30 (12-month period)
- ✦ Presentation is of Permanent, Appropriated Fund employees (excluding National Guard Technicians), unless otherwise specified.
- ✦ Data typically assumes a snapshot at the end of the FY (e.g., end of FY 2008 total appropriated fund permanent employees were 605K).
- ✦ Population comparisons:

	<u>FY04</u>	<u>FY08</u>	
▪ Total Appr Fd, Perm	587K	605K	
▪ CSRS/FERS only		575K	603K
▪ All Senior Pay Plans	1,453	1,625	
▪ SES (ES) Only	1,174	1,282	
▪ Career SES Only	1,052	1,162	

AF	Air Force
AGY	Agency
AI/AN	American Indian/Alaska Native
APPR FD	Appropriated Fund
APPT	Appointment
AR	Army
AVG	Average
B or BC	Blue Collar
BL/AA	Black/African American
BU	Bargaining Unit
BUS	Bargaining Unit Status
CIV	Civilian
DMDC	Defense Manpower Data Center
DECR	Decrease
DEMO	Demonstration Project
DoD	Department of Defense
DoN	Department of the Navy
E	Enlisted
ELIG	Eligible (e.g., retirement)
ENG	Engineering
ERI	Ethnicity and Race Identifier
EXCL	Exclude
EXEC SERV	Executive Service
FHCS	Federal Human Capital Survey
FPL	Full Performance Level
FY	Fiscal Year
GR	Grade
GM	General Manager
GS	General Schedule
ID	Identifier
IT	Information Technology
INCL	Include
INCR	Increase
INTEL	Intelligence (e.g., intel employees)
K	Thousand (e.g., \$5K or 605K)
LN	Local Nationals
MCO	Mission Critical Occupation
MIL	Military

MGMT	Management
NAF	Non-Appropriated Fund
NG Tech	National Guard Technician
NH/OPI	Native Hawaiian/Other Pacific Islander
NGB	National Guard Bureau
NSPS	National Security Personnel System
NTE	Not to Exceed (Appt. with time limit)
O	Officer (e.g., O-6)
OCC	Occupation or Occupational (e.g., occ series)
OPT	Optional
OPM	Office of Personnel Management
OSD	Office of the Secretary of Defense
PI	Pacific Islander
PATCOB	Occupational Categories: Professional, Administrative, Technical, Clerical, Other White Collar & Blue Collar
PERM	Permanent (Appt. with no time limit)
PHYS SCI	Physical Sciences
POP	Population
PP	Pay Plan
RET	Retirement or Retired or Retiree
RIF	Reduction-in-Force
RSV	Reserve
SAT	Satisfaction
SCD	Service Computation Date
SES	Senior Executive Service (or "ES")
SL	Senior Level Positions (Pay Plan)
ST	Scientific and Professional (Pay Plan)
SOFS-C	Status of Forces Survey-Civilian (DoD Internal/Annual Employee Survey).
SUPV	Supervisor
SVC	Service
TL	Team Leader
WC	White Collar
YOS	Years of Service
YR	Year
#	Number
%	Percentage

**Bargaining Unit** - A grouping of employees that a union represents or seeks to represent and that the Federal Labor Relations Authority finds appropriate under the criteria of § 7112 (community of interest, effective dealings, efficiency of operations) for collective bargaining purposes. Certain types of employees cannot be included in bargaining units; e.g., management officials and supervisors. See § 7112(b). Employees in a bargaining unit may not all be union members. Union membership is limited to those employees who voluntarily elect to pay dues to the union.

**DCPDS** - Defense Civilian Personnel Data System, which is DoD Civilian-Wide HR system.

**Developmental Hire** - employees in a position with a target grade, and they have not reached that target grade.

**Ethnicity** - a human population considered distinct based on physical characteristics (Hispanic or Latino). Charts will display "Hispanic/Non-Hispanic".

**ERI** - this replaces the old "RNO" (Race and National Origin) identifiers. The **Guide to Personnel Data Standards** (p.97) consists of one ethnicity category (Hispanic or Latino) and five race categories.

**Excepted Service** - consists of all positions in the Executive Branch that statute, the President, or OPM has specifically excepted from the competitive service or the SES. Commonly referred to as "Schedule C". Schedule C positions are excepted from the competitive service because they have policy-determining responsibilities or require the incumbent to serve in a confidential relationship to a key official.

**Gains from Inventory Data** - an employee is considered a "gain" if the appt. or transfer into federal civilian employment with DoD from *whatever source* was made during the FY and the employee was still on board at the end of the FY.

**Inventory Data** - Inventory = End Strength = The # of employees in an organization or a count at a specified point in time. The term 'End Strength' is frequently used to refer to the # of employees in a paid status as of the end of an FY. (i.e., as of September 30, 2008). This differs from "full-time equivalents" (or FTEs) used when doing budget or manpower related presentations.

**Intel** - Presentations exclude Intel positions assigned to Intelligence agencies (e.g., DIA, DISA). Component Intel senior leaders are represented.

**Transactional Data** - any personnel action, such as for hires, separations, pay adjustments, promotions, all typically captured with an SF-50.

**Losses** from Transactional Data - a personnel action that results in the loss of an employee from the agency.

**Loss Rate** - % of employees lost during an FY who were on board at the end of the prior FY and not on board at the end of the reporting FY (e.g., on board end of FY 07 and not on board end of FY 08). Loss rates are found in the inventory data.

**Mission Critical Occupations** - In January 2007, DoD established a working group with Component representation to review the identified enterprise-wide critical skills needed to meet current mission imperatives. The identified critical skills were vetted with the functional and human resources leadership of the Department. The list of MCOs was published in July 2007. While the Components will track additional occupations, these enterprise MCOs will be tracked and monitored at the OSD level.

**PATCOB** - acronym for the six occupational categories:

**Professional** - requires knowledge in a field of science or learning characteristically acquired through education or training. Positions typically have a positive education requirement.

**Administrative** - involves the exercise of analytical ability, judgment, discretion, and personal responsibility. (These include positions such as Senior Advisors, management/prpogram analysts).

**Technical** - typically associated with and supportive of a professional or administrative field

**Clerical** - involves structured work in support of office, business, or fiscal operations

**Other** - white collar occupations that cannot be related to professional, administrative, technical, or clerical categories. This includes protective services (firefighters/police/guards) & trainees.

**Blue Collar** - occupations comprising the trades, crafts, and manual labor.

**Race** - representative social groups with a shared history, sense of identity, geography and cultural roots which may occur despite racial difference (e.g., American Indian/Alaska Native, Asian, Black/African American, Native Hawaiian/Other Pacific Islander, and White).

**Retirement (Early)** - unique option to permit early retirement for eligible employees available only under special circumstances (examples, major reorganizations or reductions in force). Requested by the agency heads and granted by Office of Personnel Management (OPM).

**Retirement (Optional)** - status of a worker who has completed full-time work with DoD upon reaching specific seniority and/or age requirements. Retirements are captured in the Defense Civilian Personnel Data System through nature of action (NOA).



HOME

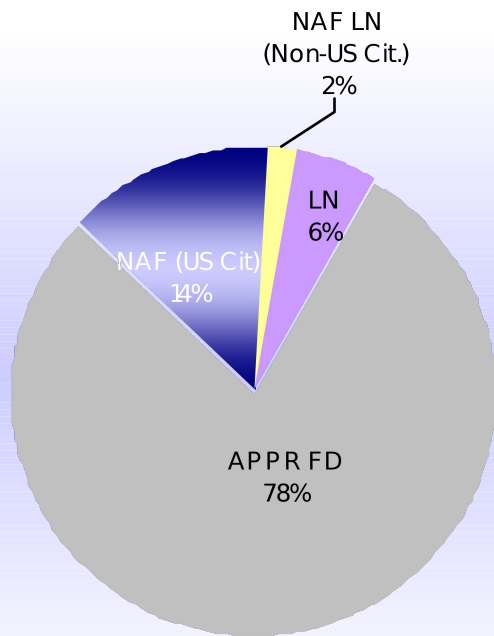
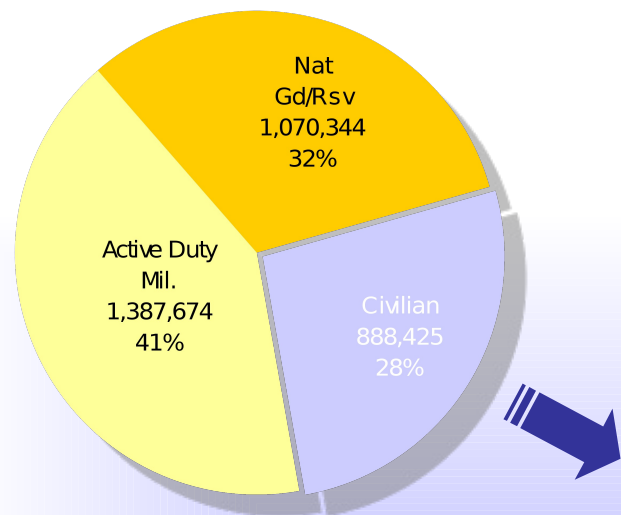
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TO THE EXECUTIVE FACT BOOK MENU

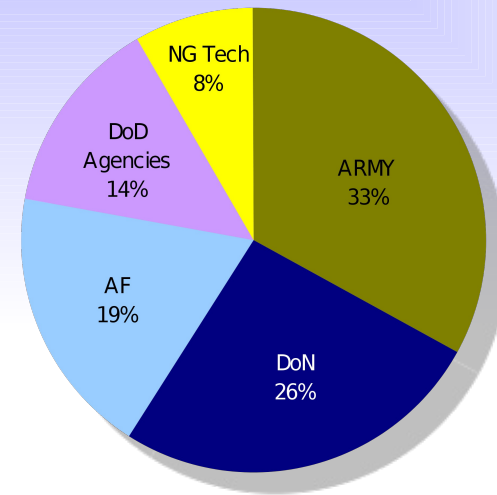


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NAF \*\*\*  
NAF \*\*\*  
118K  
NAF LN  
15K  
LN  
48K  
48K

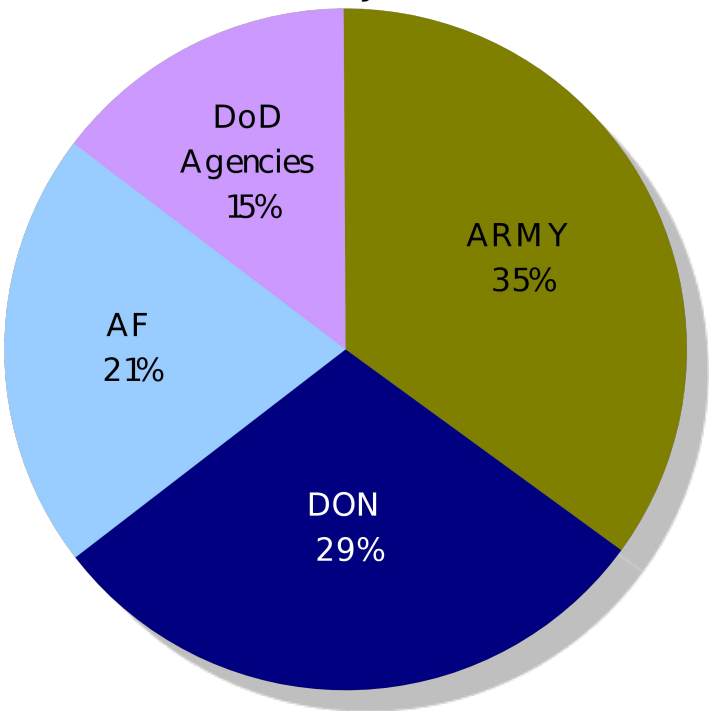


\*Source: DMDC

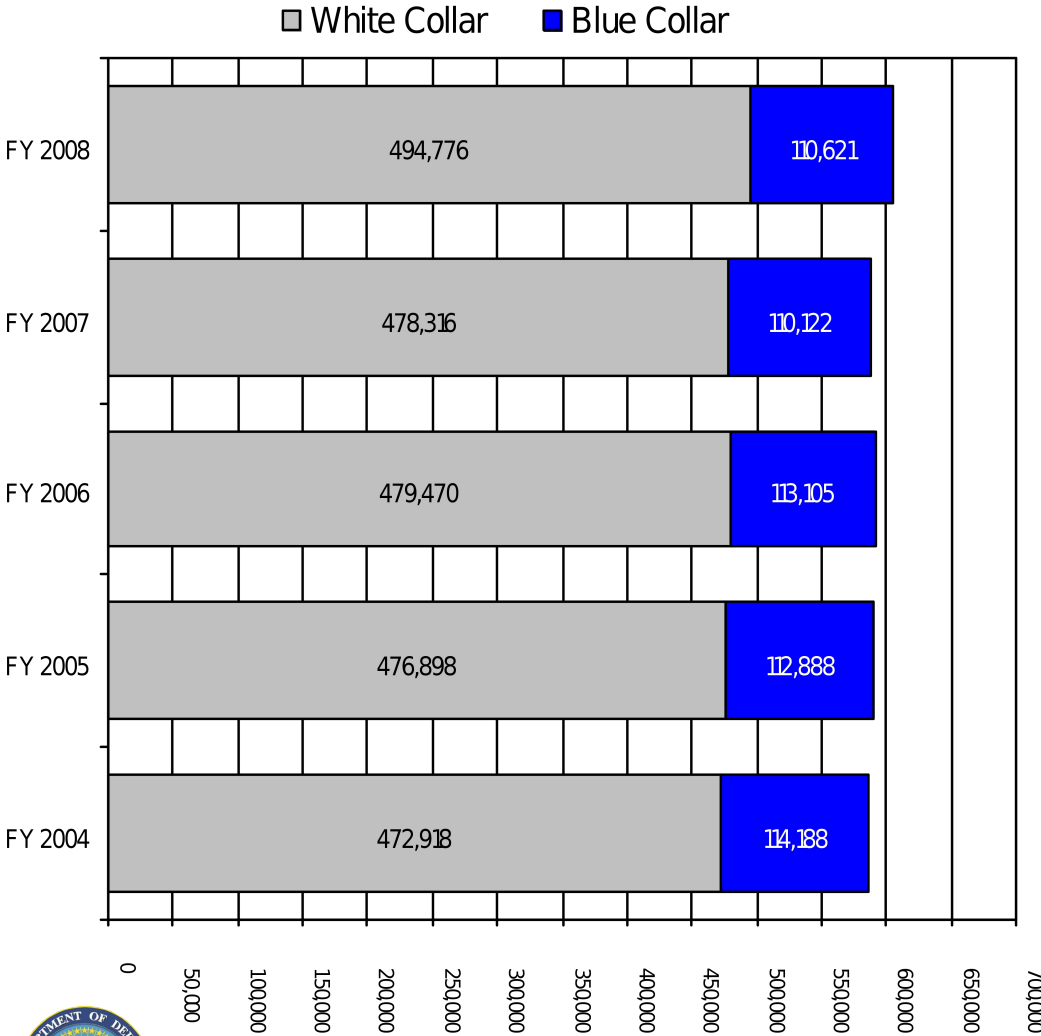
\*\*Source: DCPDS. Perm and Non-Perm Employees

\*\*\*Source: NAF Division, CPMS

Civilians By Component  
(Appr Fd. Excl. NG Tech. Perm Only)

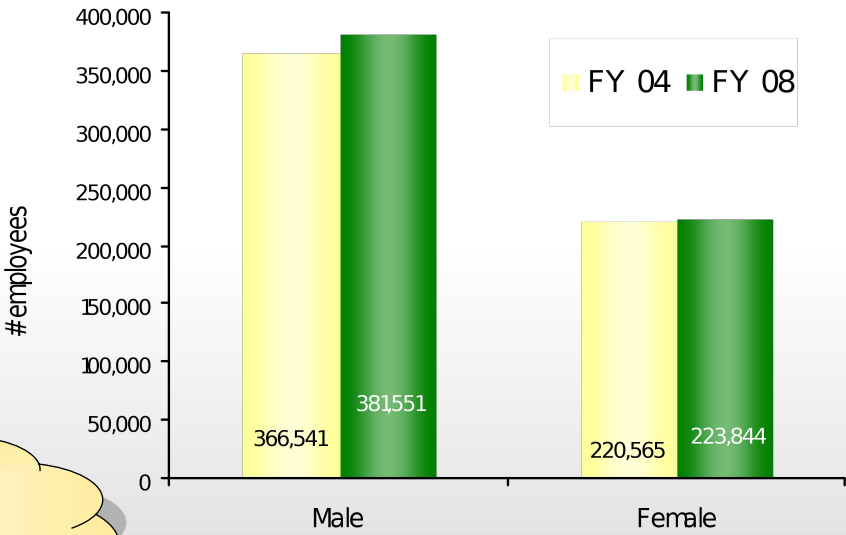


ARMY	DON	AF	DoD
	Agencies		
212K	178K	127K	89K
TOTAL FY 2008			
605K			

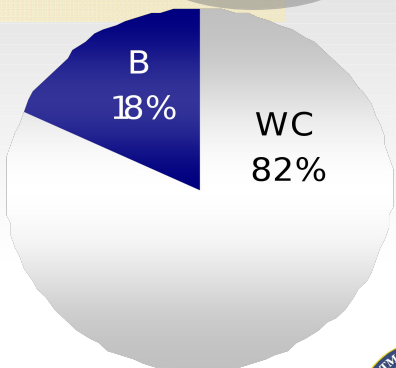
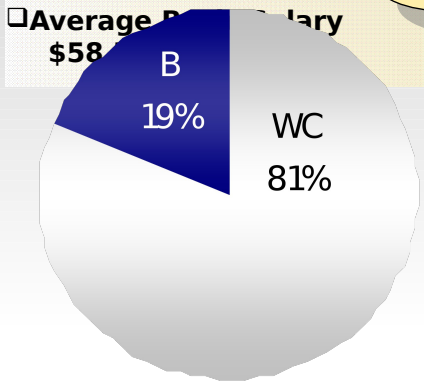




	FY 04	FY 08
<input type="checkbox"/> <b>Bachelors degree &amp; Higher</b>	35.5%	38.0%
<input type="checkbox"/> <b>Master's degree &amp; Higher</b>	10.5%	12.2%
<input type="checkbox"/> <b>Reported Disability</b>	6.4%	6.5%
<input type="checkbox"/> <b>Targeted Disability</b>	1.0%	0.8%
<input type="checkbox"/> <b>Re-employed Annuitants</b>	.09%	.11%
<input type="checkbox"/> <b>Retired Military</b>	15.3%	15.3%

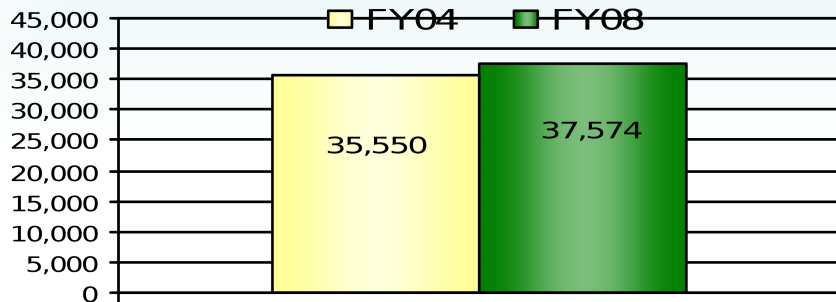
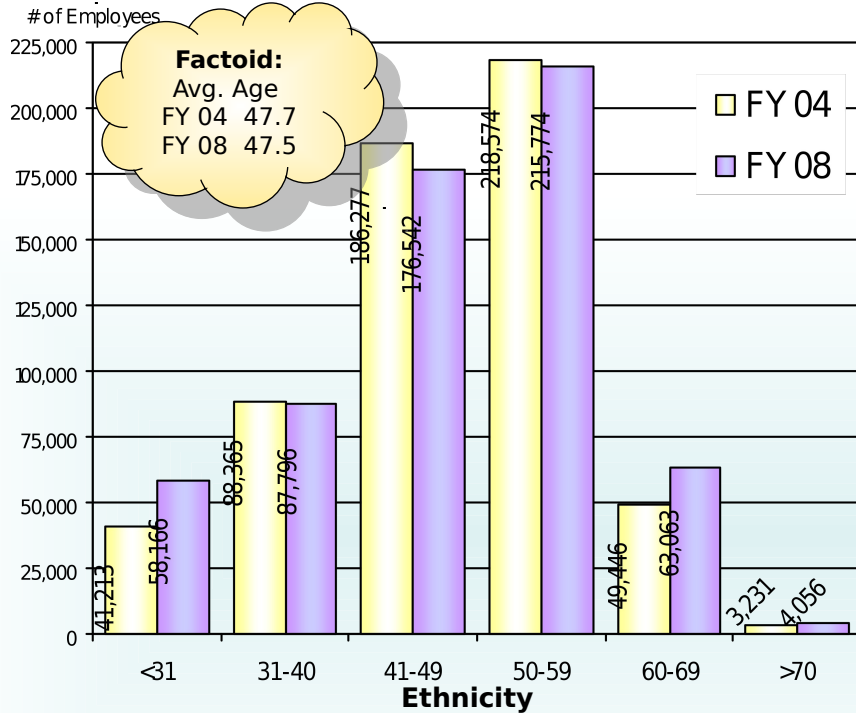


**Factoid:**  
77% of re-employed annuitants were hired into Non-Perm. Positions in FY08. Of the total pop. of re-empl. annuitants (perm/non-perm) from FY04-FY08, the pop. went from .14% to .46% (an increase of > 2,100).

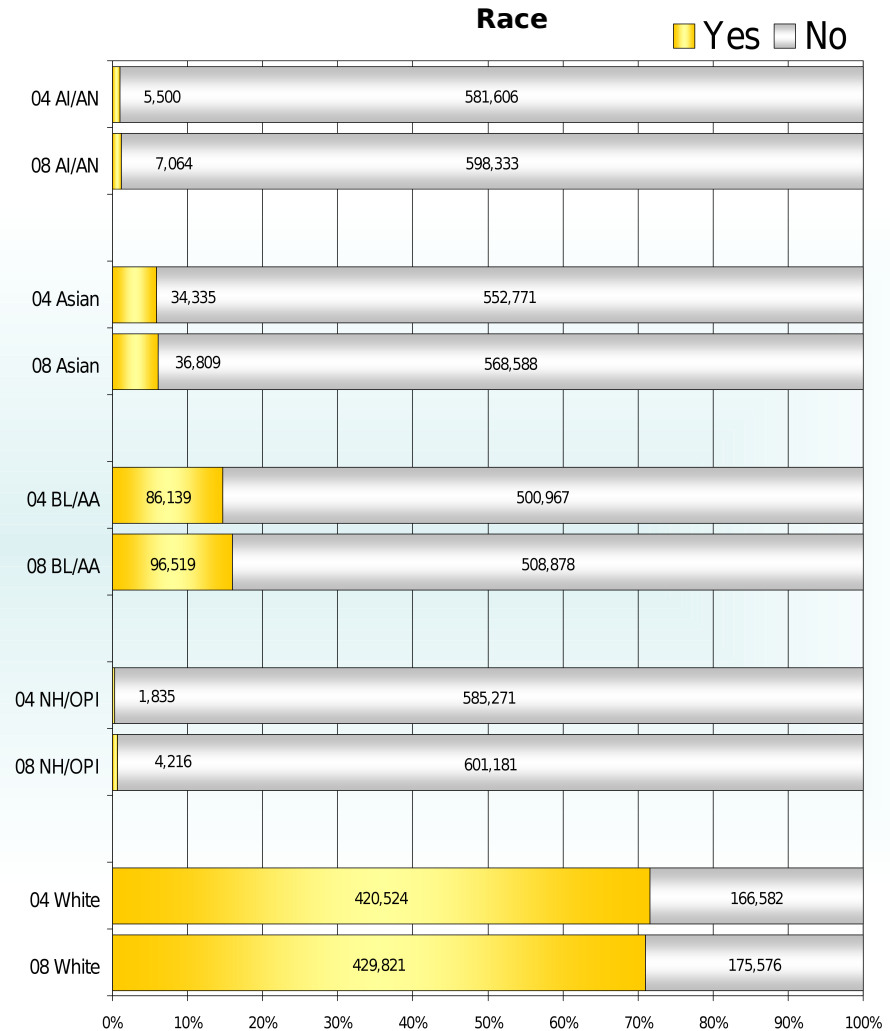


RETIREMENT		FY 04
<input type="checkbox"/> <b>Avg. Ret. Age</b>	(All Ret. - early, disability and optional)	58.9
<input type="checkbox"/> <b>Avg. Ret. Age - Optional Only</b>		60.4
<input type="checkbox"/> <b>Avg. years staying beyond Ret. Elig.</b>		2.8 yrs

<input type="checkbox"/> <b>Eligibility as of 30-Sept 2008 (Optional)</b>	= 13.3%
<input type="checkbox"/> <b>Eligibility as of 30-Sept 2013 (Optional)</b>	= 32.9%
<input type="checkbox"/> <b>Eligibility as of 30-Sept 2008 (Opt. &amp; Early)</b>	= 35.3%
<input type="checkbox"/> <b>Eligibility as of 30-Sept 2013 (Opt. &amp; Early)</b>	= 51.7%



Hispanic



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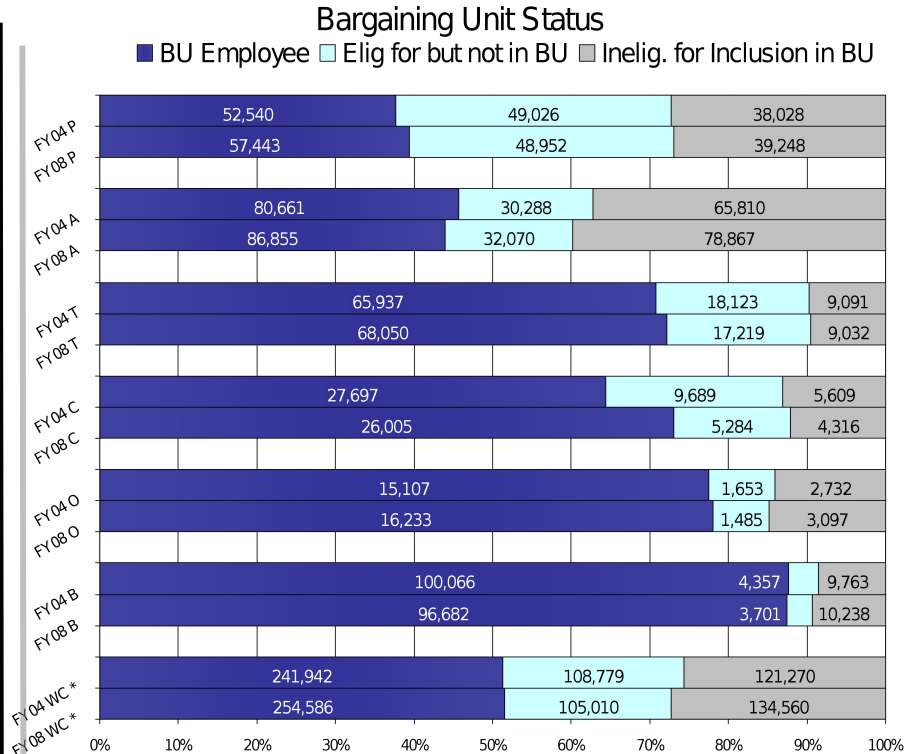
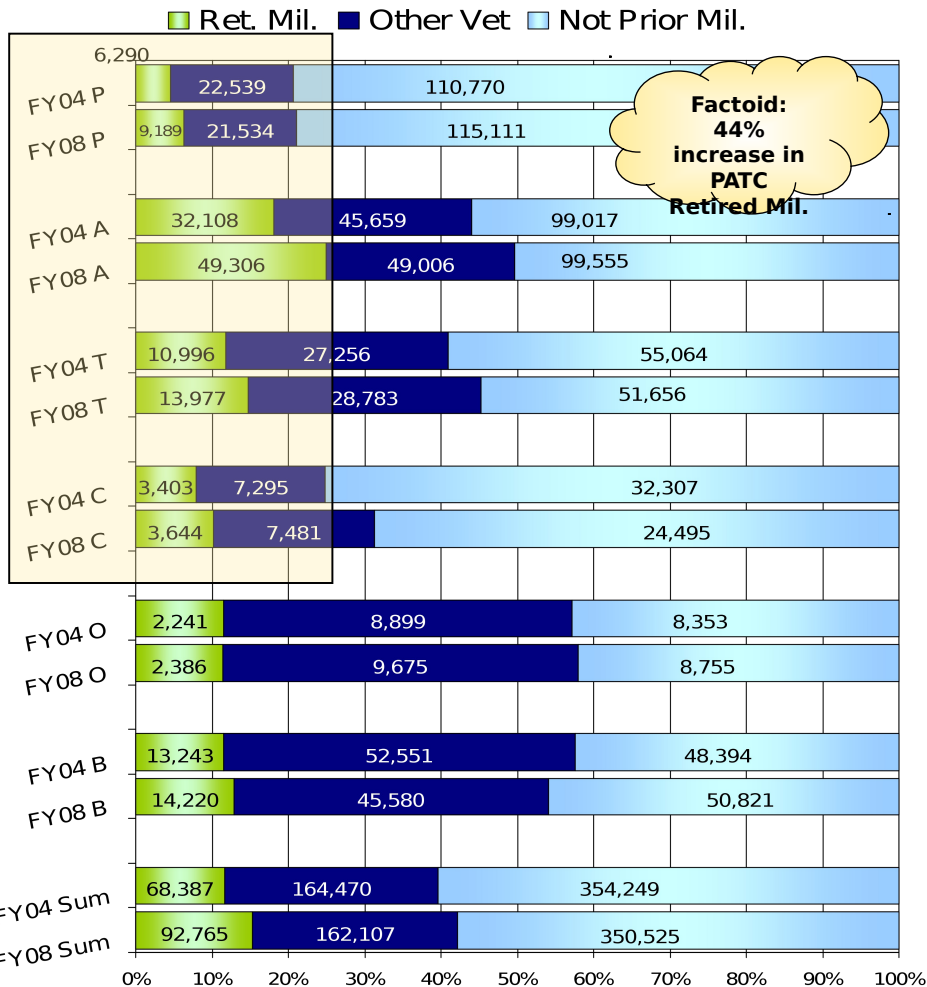


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<<BACK





Of the FY2004 Total population of 587K - 455K (78%) are members of a BU or eligible for but not in a BU.

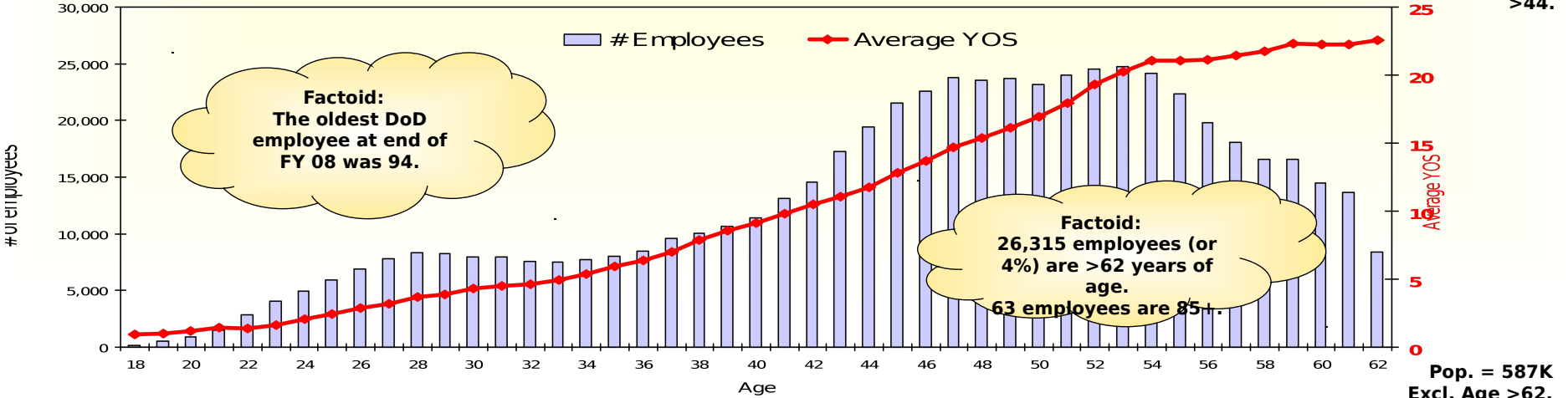
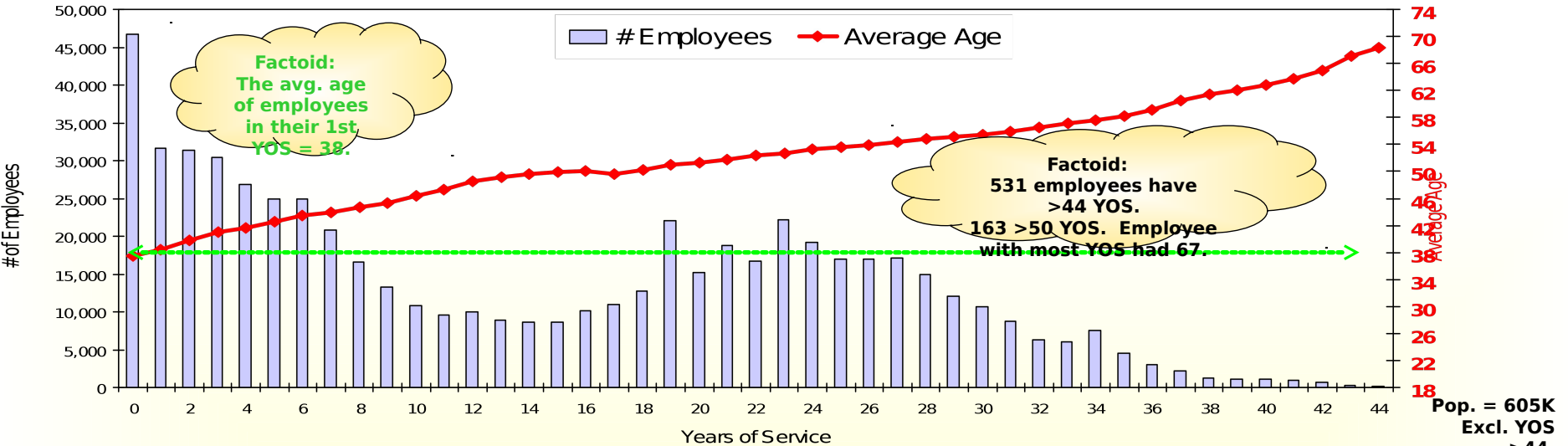
Of the FY2008 Total population of 605K - 460K (76%) are members of a BU or eligible for but not in a BU

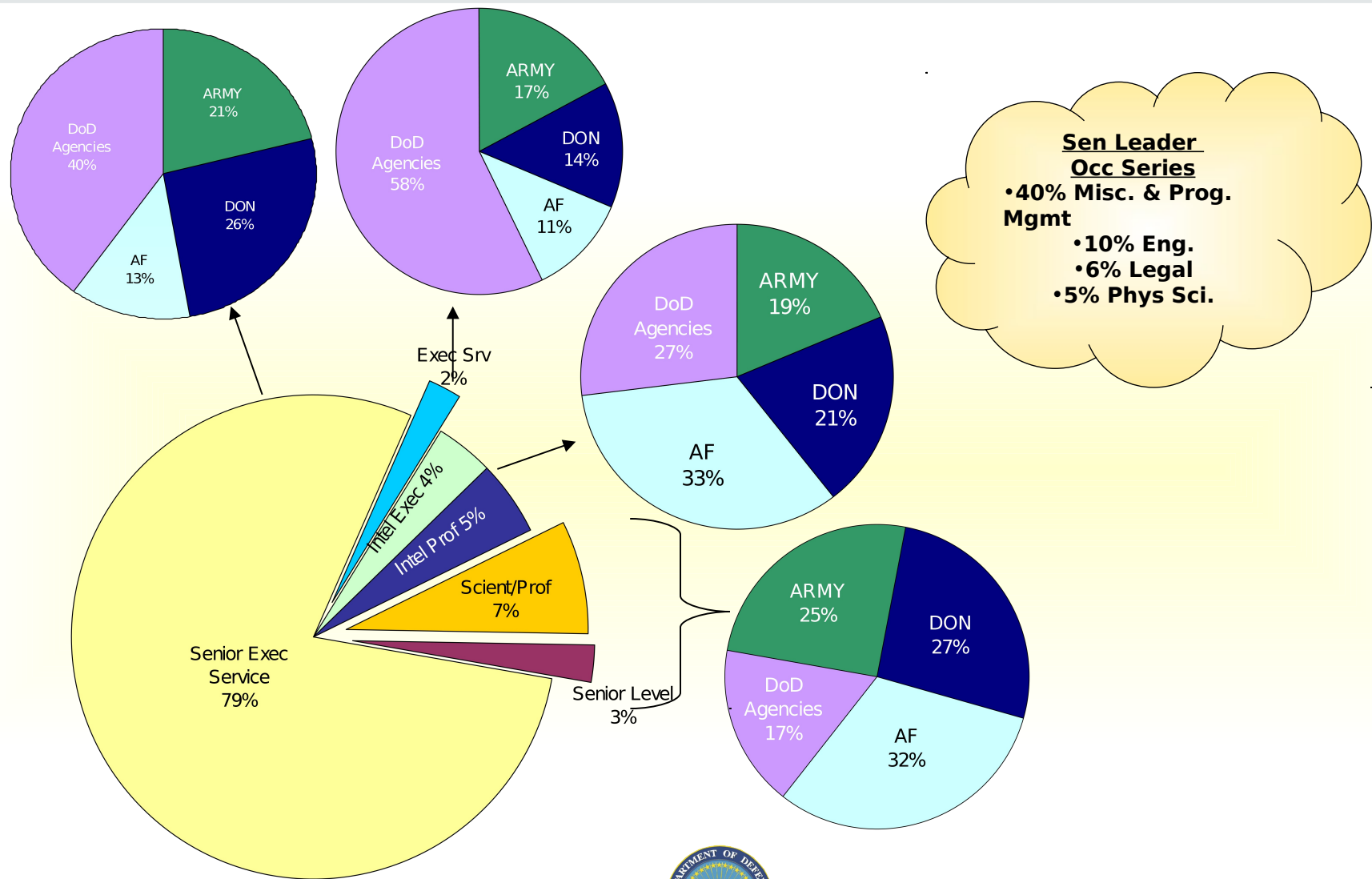
\*White Collar (WC), shown only for comparison to Blue Collar (B or BC).

**Factoid:**  
Eligibility for bargaining unit status is based on the duties an employee performs. A member of a union means they pay dues. You can be a bargaining unit employee without paying dues.

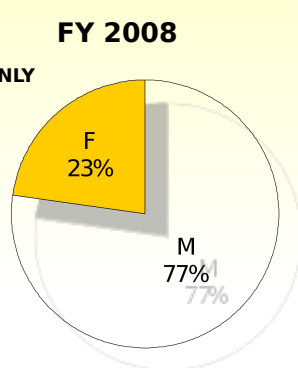
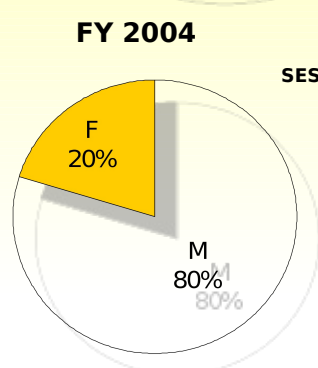
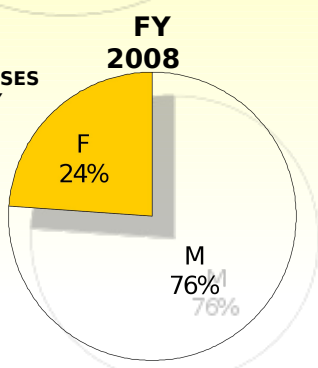
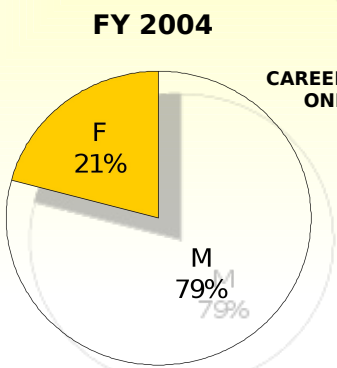
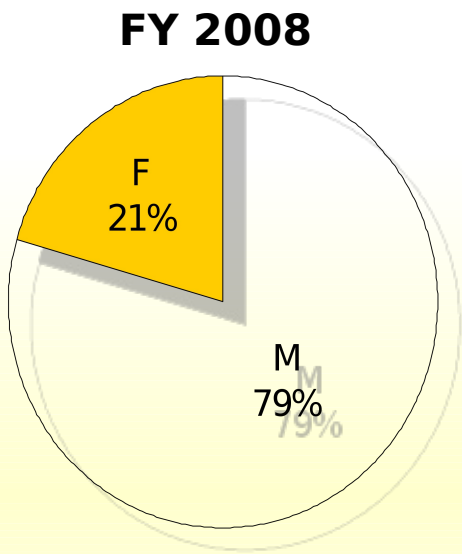
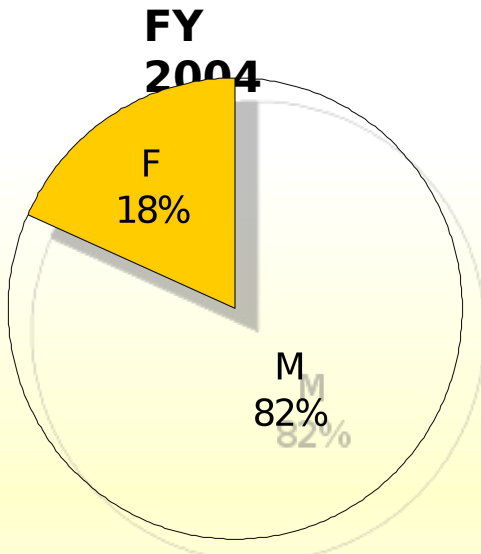
# TYPICAL DoD CIVILIAN BY YEARS OF FEDERAL CIVILIAN SERVICE AND AGE

# CIVILIAN EMPLOYMENT PROFILE



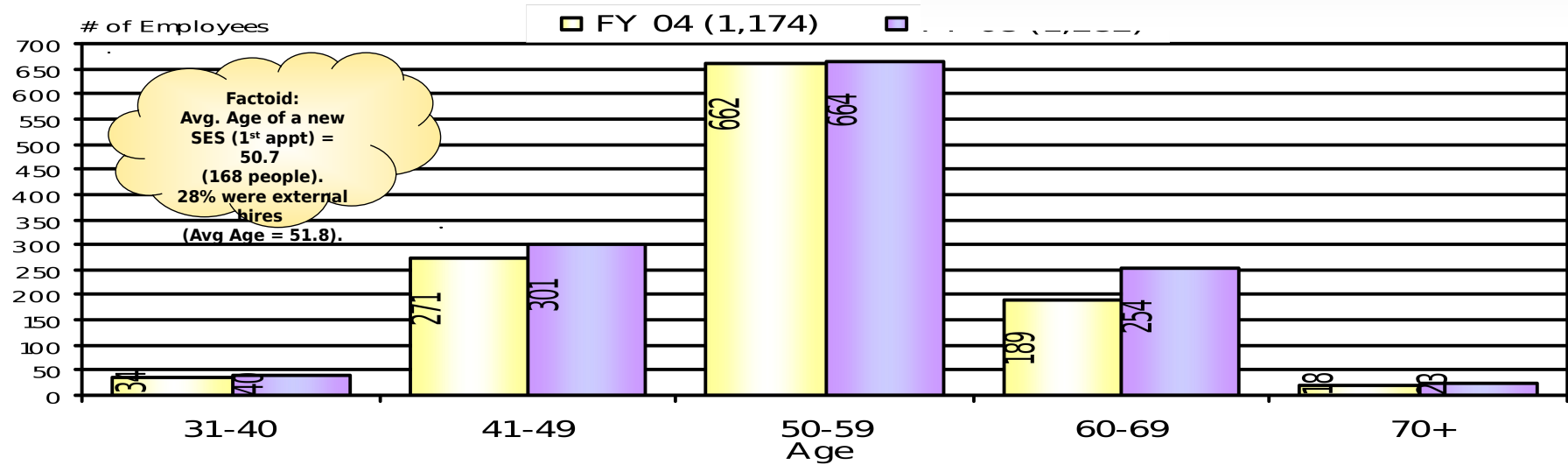


**ALL SENIOR PAY PLANS**



This excludes Intel positions assigned to Intelligence agencies. Component Intel are represented.

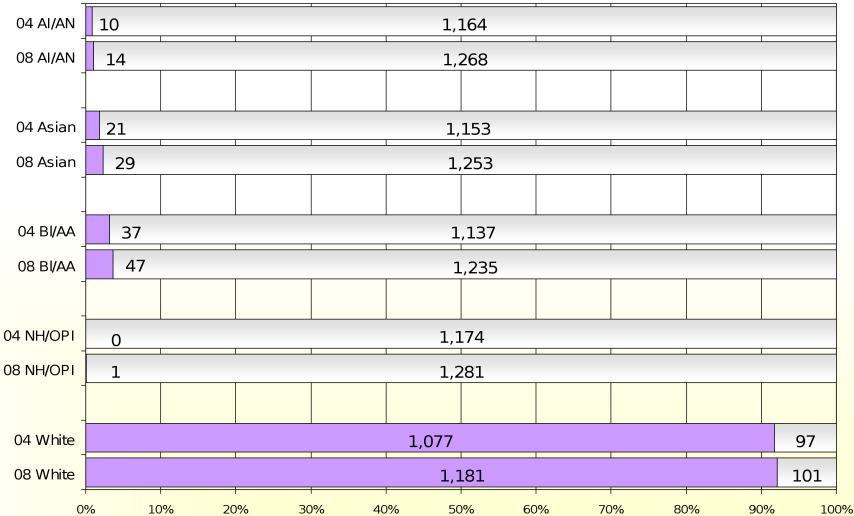
	FY 04	FY 08	w/in 5 yrs	Already eligible to Retire / Elig. (Optional Only)
Average Age/Average Years of Service				
• All Senior PP	54.8 / 21.1	54.5 / 22.7	FY2004	
• SES Only	54.5 / 22.7	54.4 / 21.7	All Senior PPs	30.8% / 60.7%
• Career SES Only	54.4 / 22.8	54.1 / 24.8	SES Only	62.2% / 31.1%
• Career SES			62.2%	
Eligible to retire voluntarily			Career SES	32.9% / 64.7%
• % of All Senior Pay Plans	CSRS 47.3%/FERS 10.2% // CSRS		FY2008	
• % of SES	45.6%/10.4%		All Senior PPs	26.1% / 57.8%
• % of Career SES	46.8%/12.5%		SES Only	26.1% /
• % of Career SES	46.1%/12.0%	45.2%/11.5%	57.7%	
			Career SES	26.5% / 58.7%



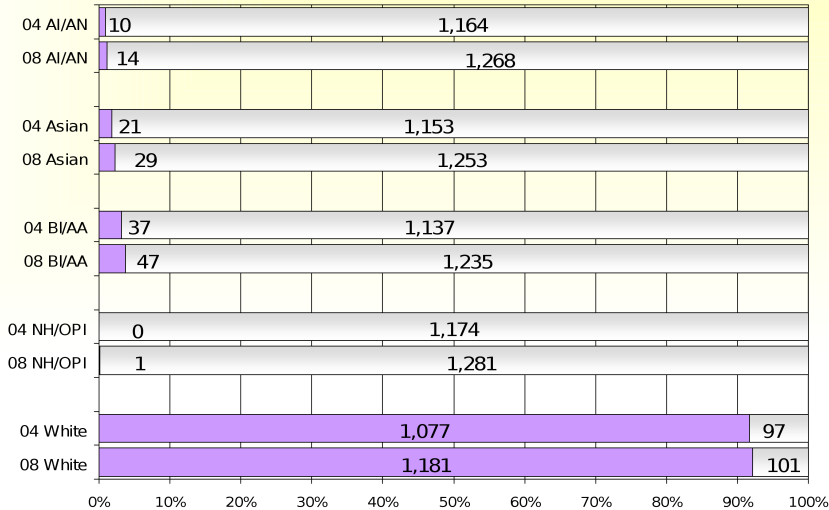
# TYPICAL DoD SENIOR LEADER RACE & ETHNICITY

# DoD SENIOR LEADER PROFILES

ALL SENIOR PAY PLANS

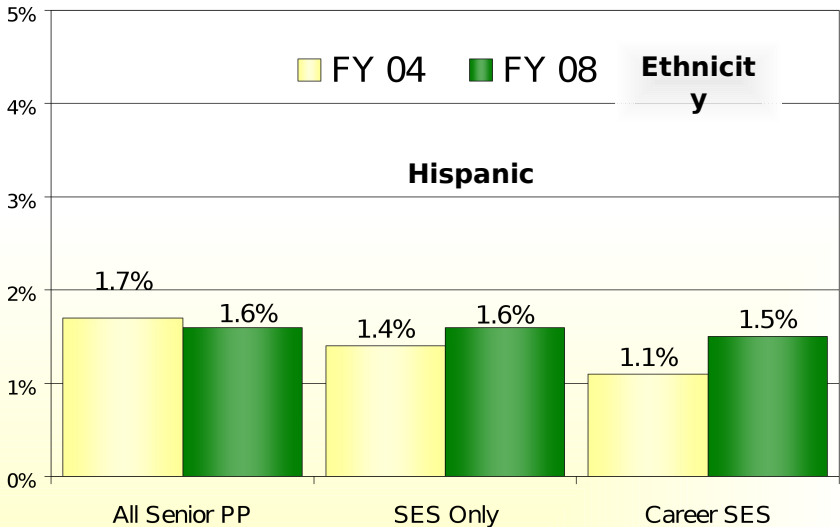
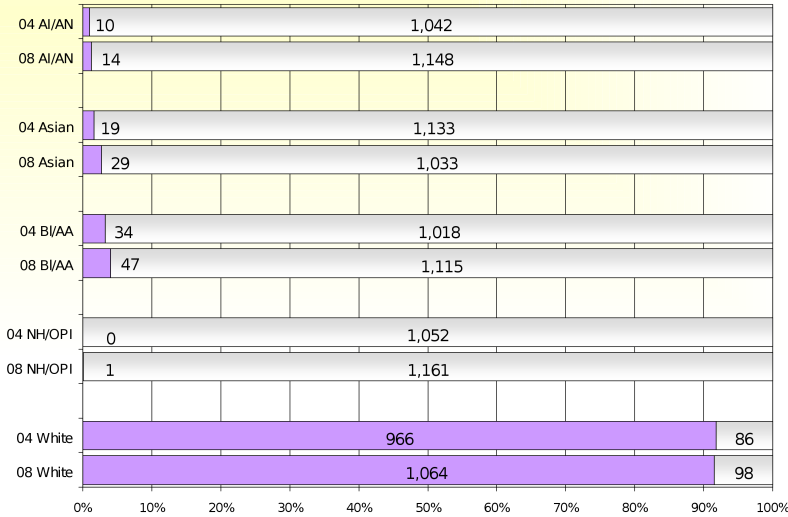


SES ONLY



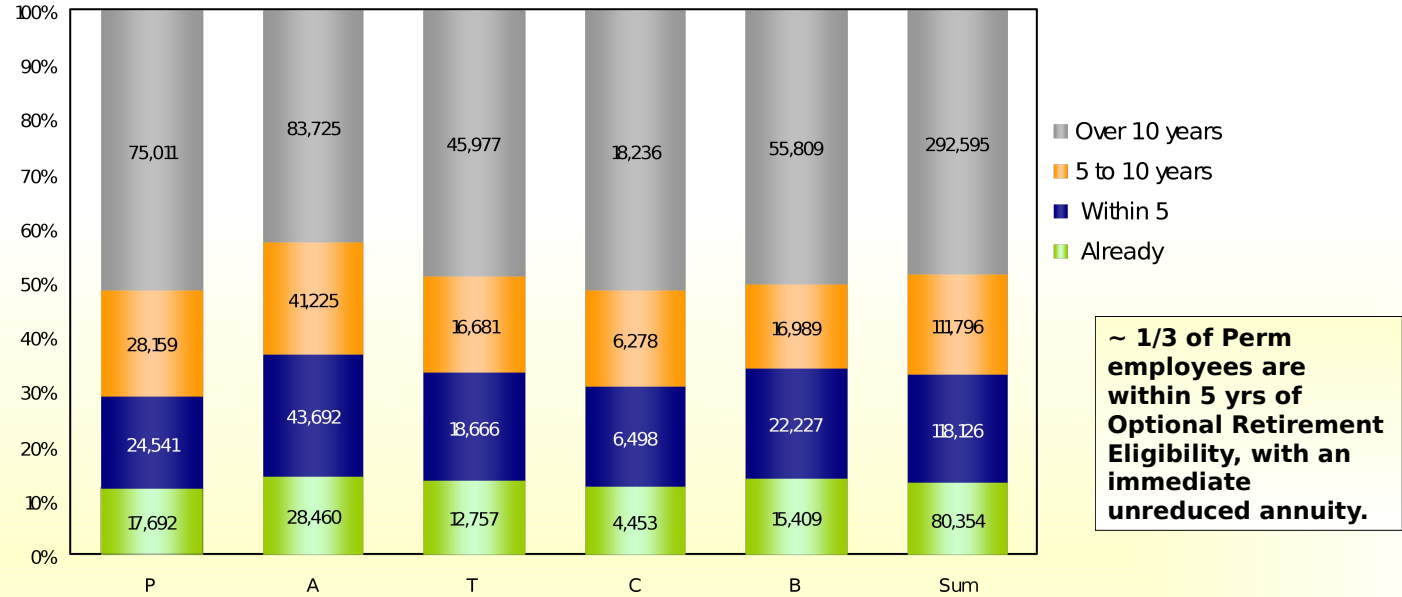
Yes  
No

CAREER SES ONLY

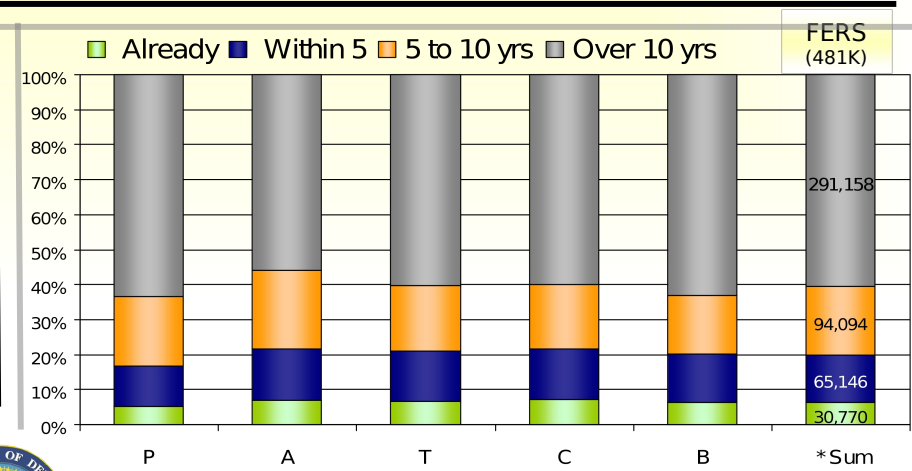
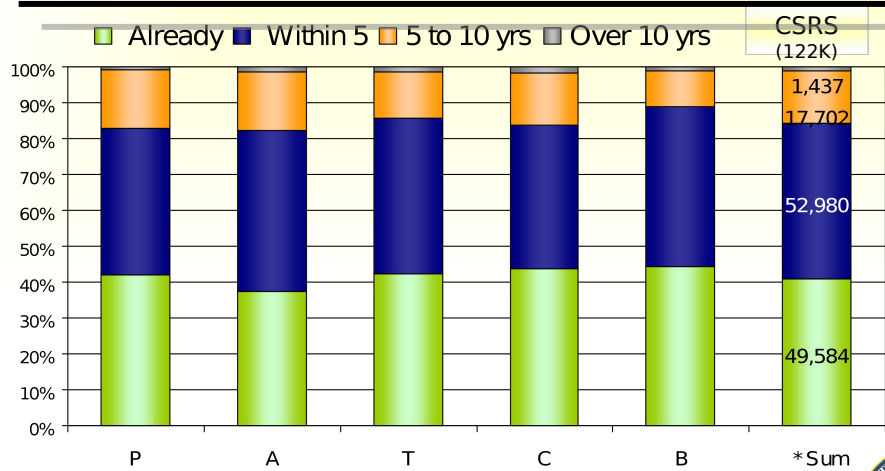


**Permanent employees in CSRS and FERS, only (603K).**

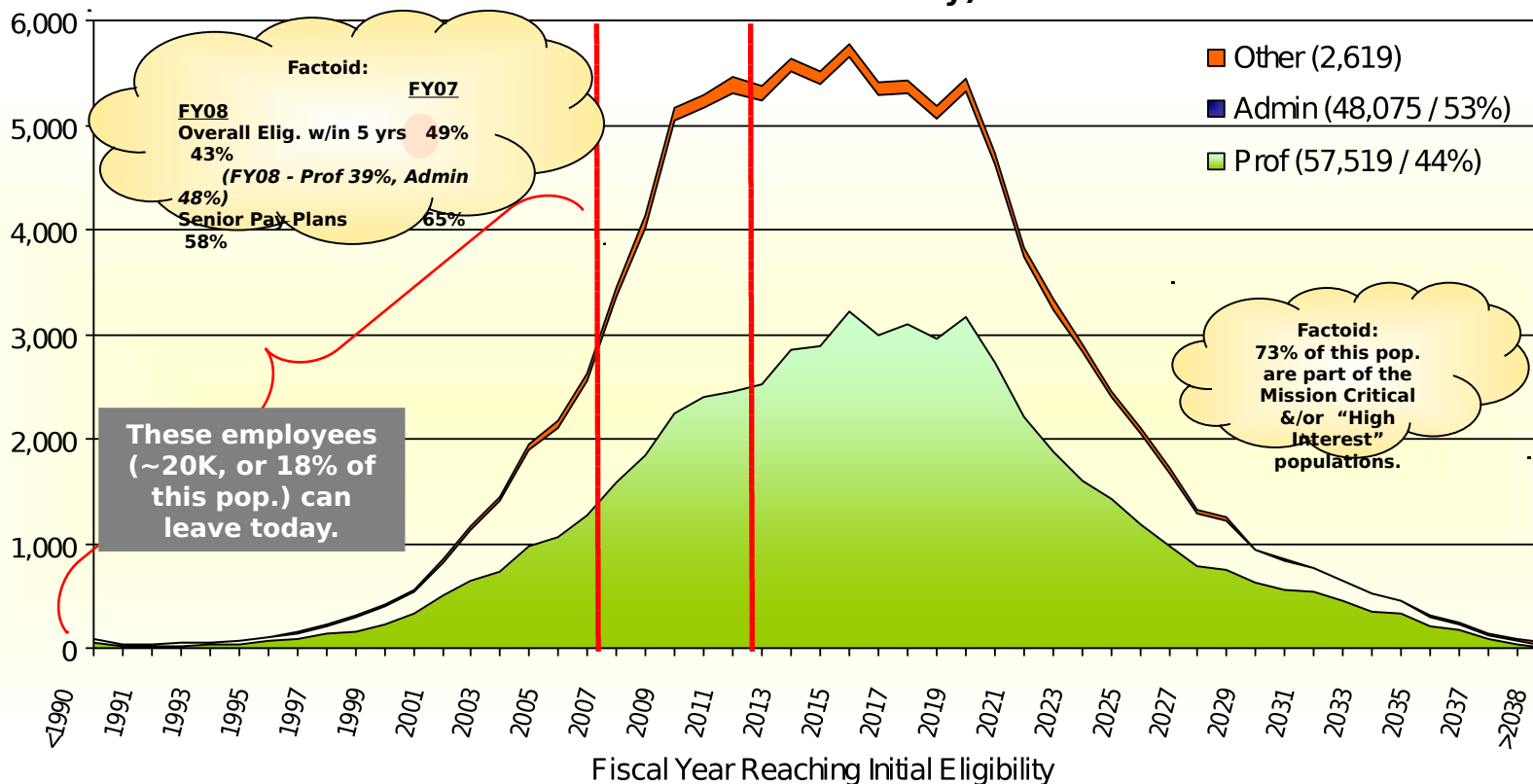
**\* Population for PATCB = 582K as it excludes ~20K "Other" or "O" employees which have special retirement rules.**



**~ 1/3 of Perm employees are within 5 yrs of Optional Retirement Eligibility, with an immediate unreduced annuity.**



## Initial Optional Voluntary Retirement Eligibility Date (eligible for an immediate and unreduced annuity)



Appr Fund employees paid on an annual basis with basic salary rates "equivalent to" NSPS Pay Band 3 and higher; i.e., includes GS-13 step 5 and above. This includes all senior pay plans. CSRS/FERS only.



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ADVANCE>>



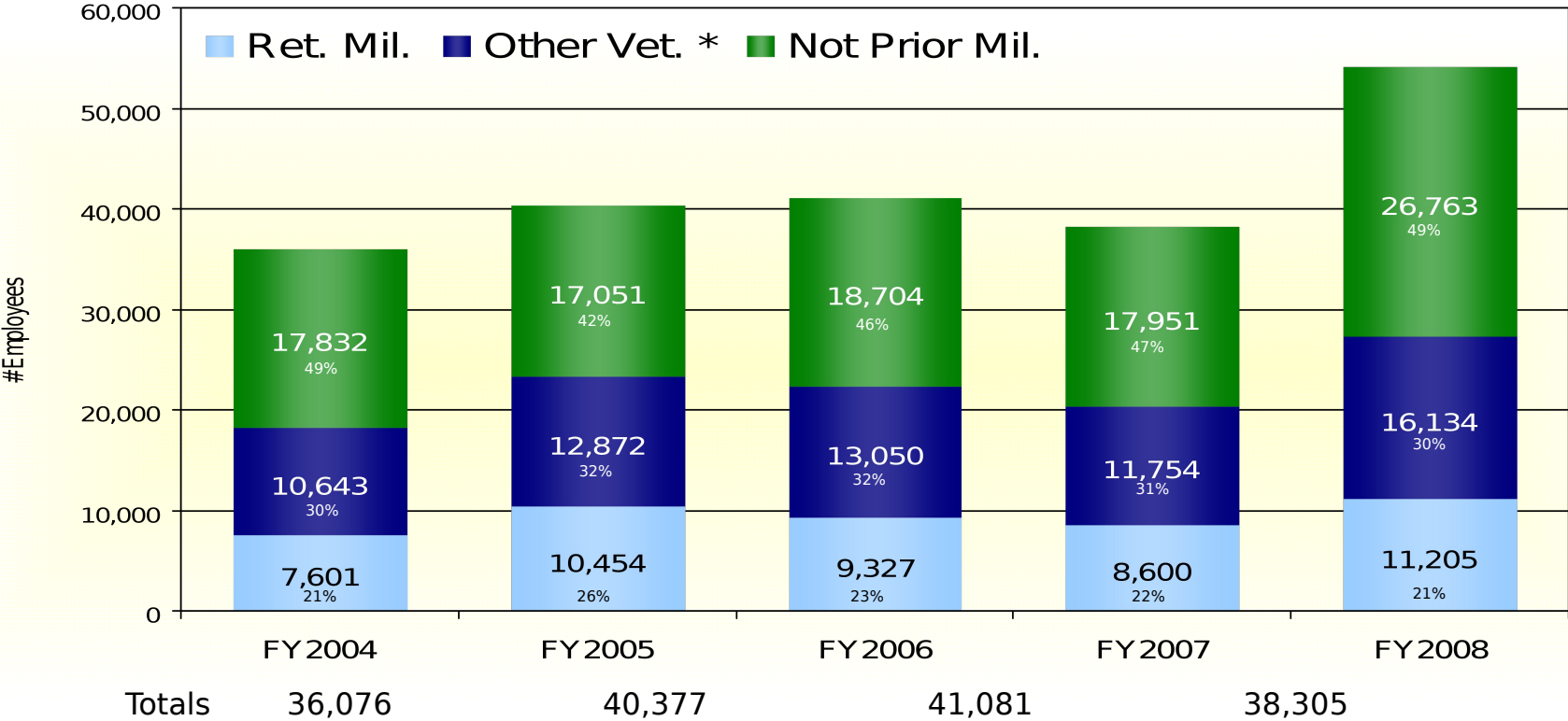
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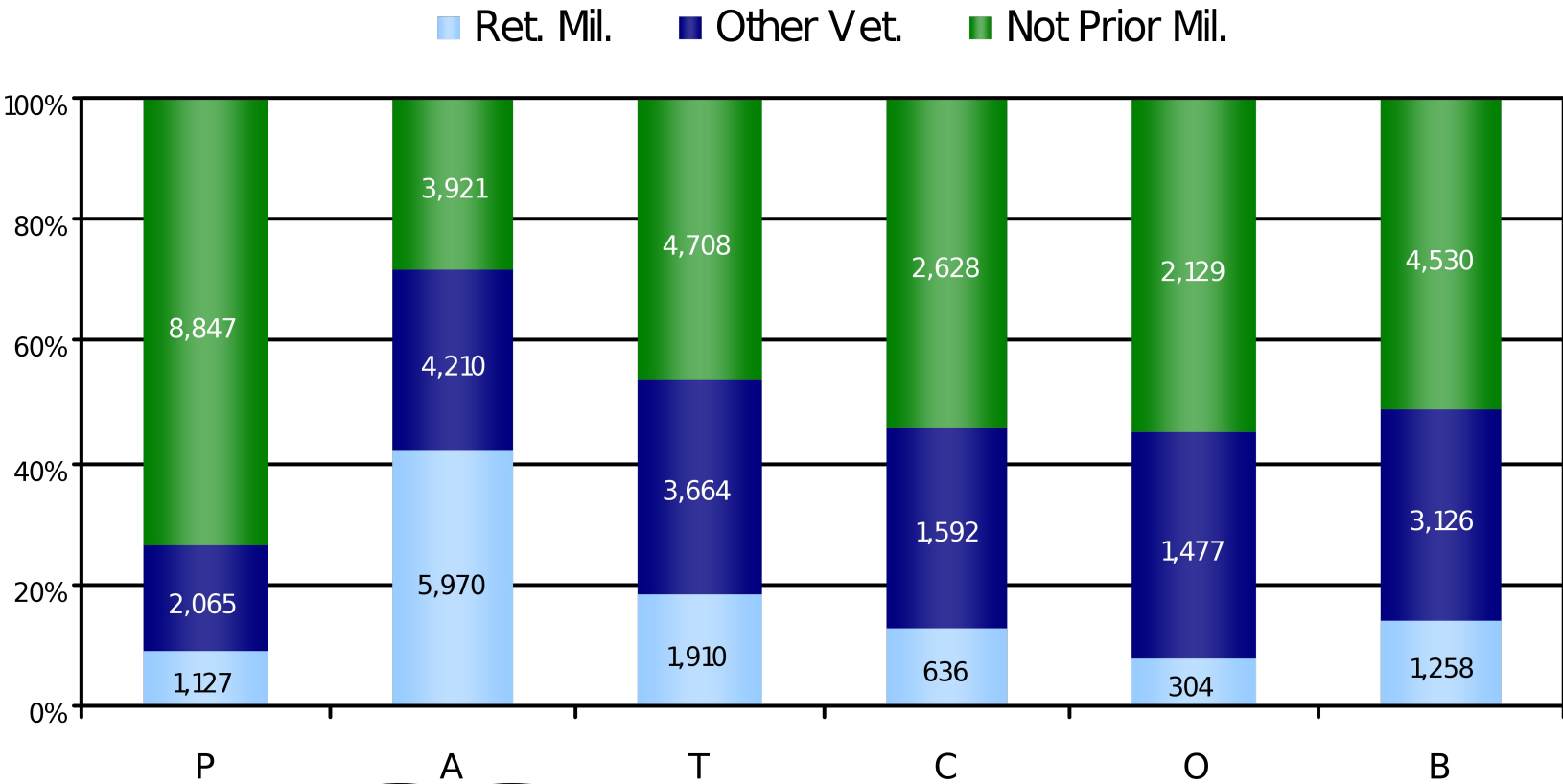
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An employee is considered a “gain” if the appt. or transfer into federal civilian employment with DoD from *whatever source* was made during the FY and the employee was still on board at the end of the FY.



\* Other Veterans are comprised of individuals whose civilian personnel record indicates they had prior military service, but who are not retired military..



**Factoid:**  
Professional (P) & Administrative (A) are where we find our executive/leadership and MCOs.

**Staffing Sources, Prior Military, by Component:**  
Professional Occupations: Army 27%, Navy 21%, AF 42%, DoD Agencies 23%  
Administrative Occupations: Army 74%, Navy 70%, AF 82%, DoD Agencies 59%



HOME

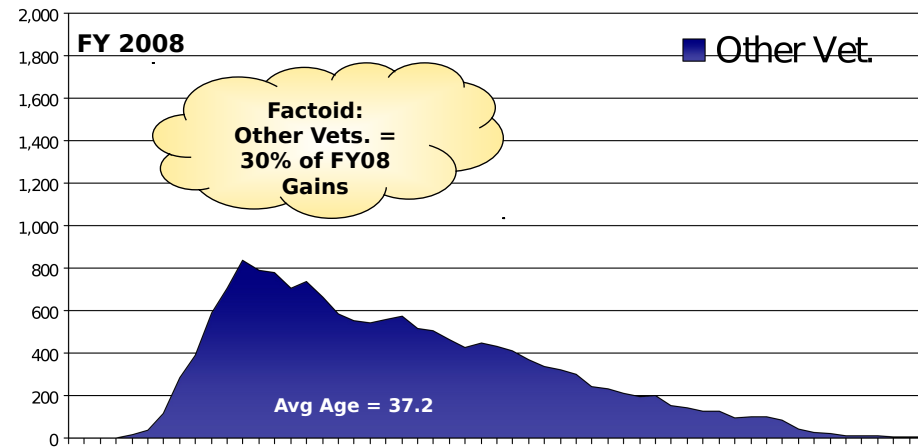
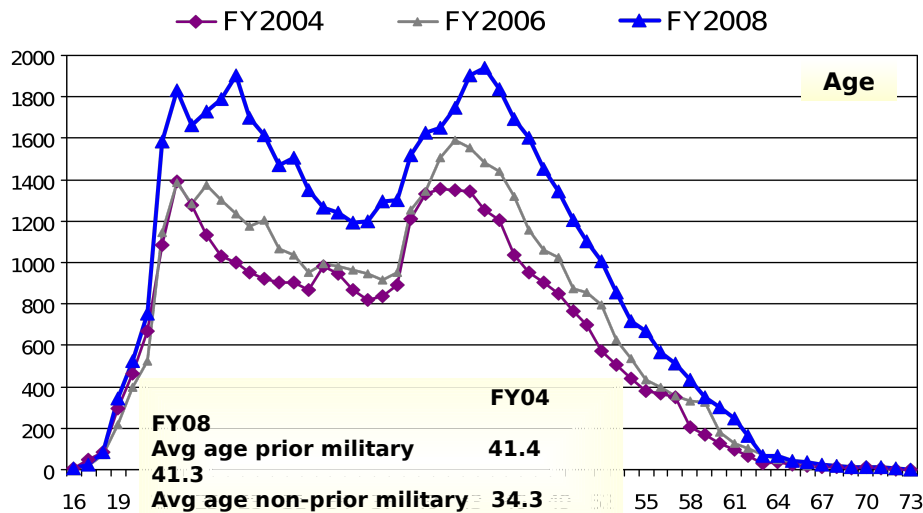
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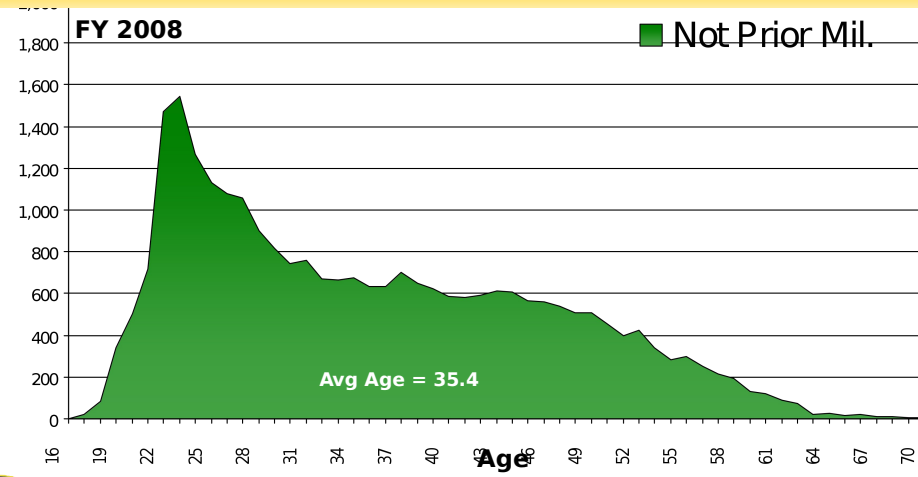
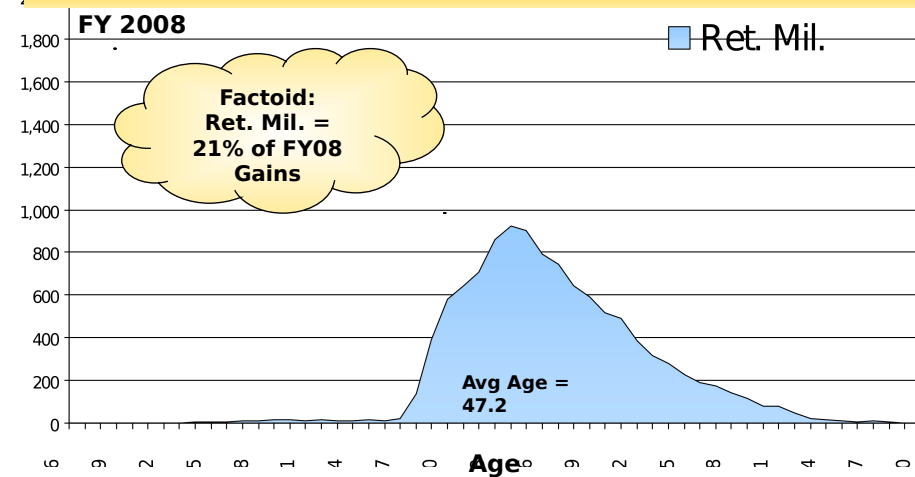
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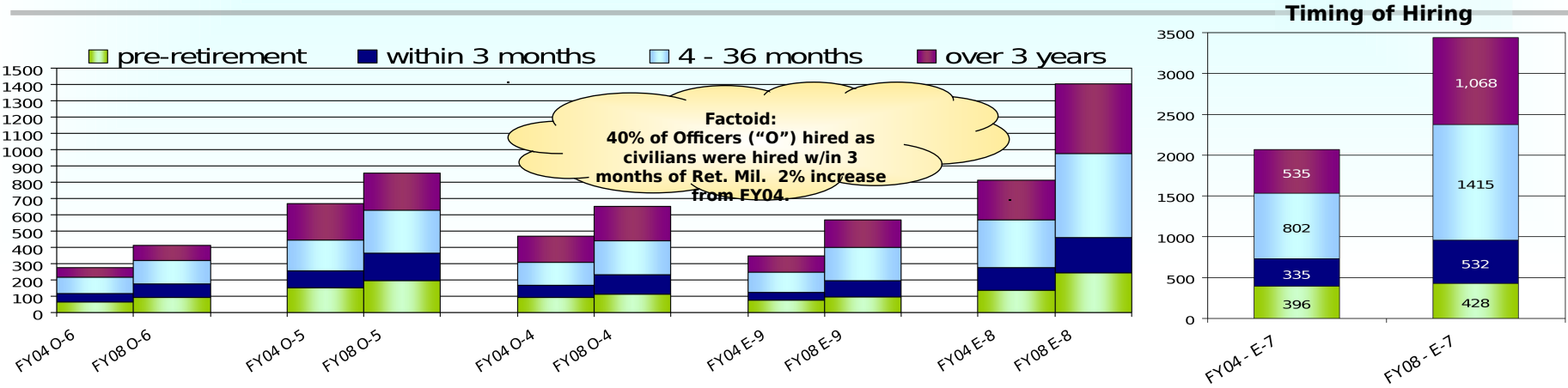
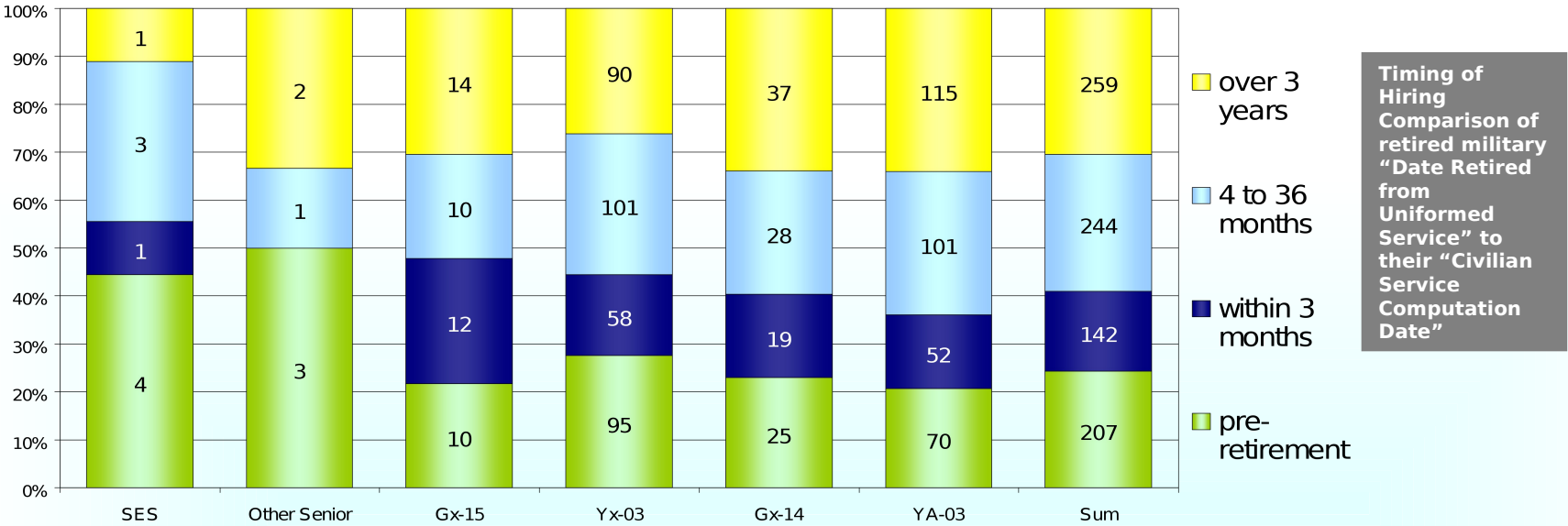


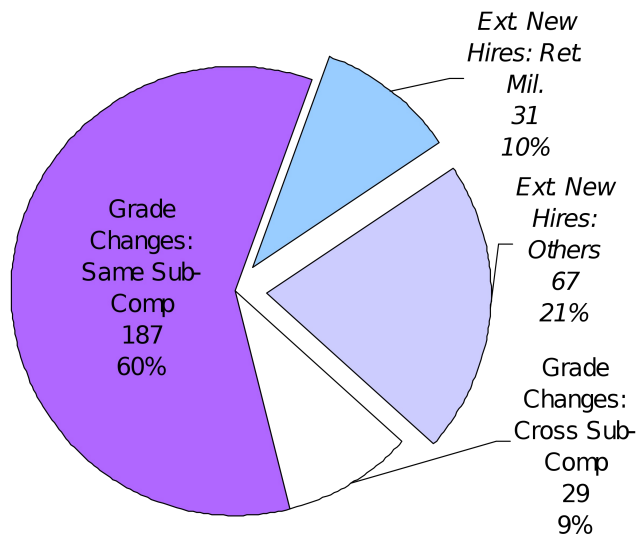
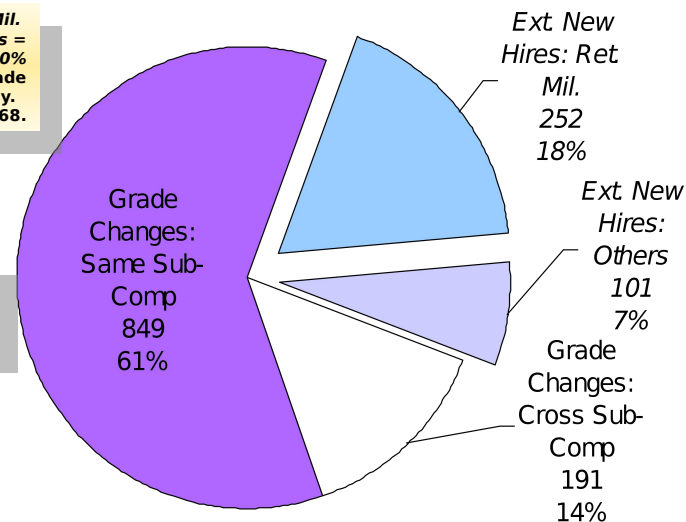
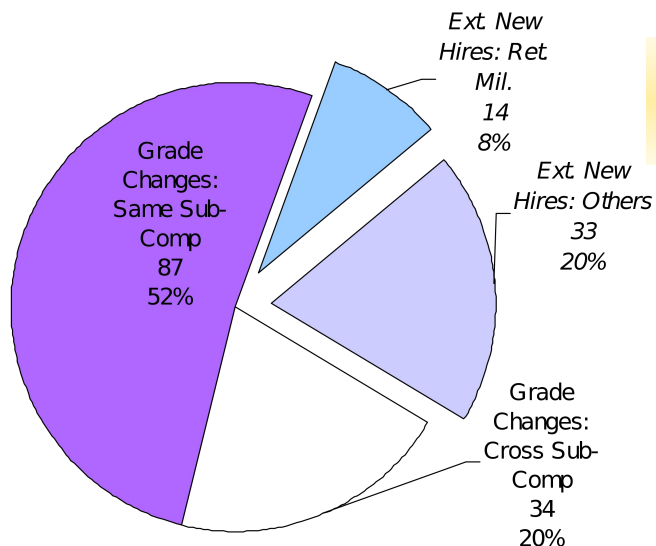
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23% of Professional hires [155K] are 40 years old, college grads and in developmental positions, but less than 3% of the non-Professional white collar hires [152K] are <30, developmental college grads.





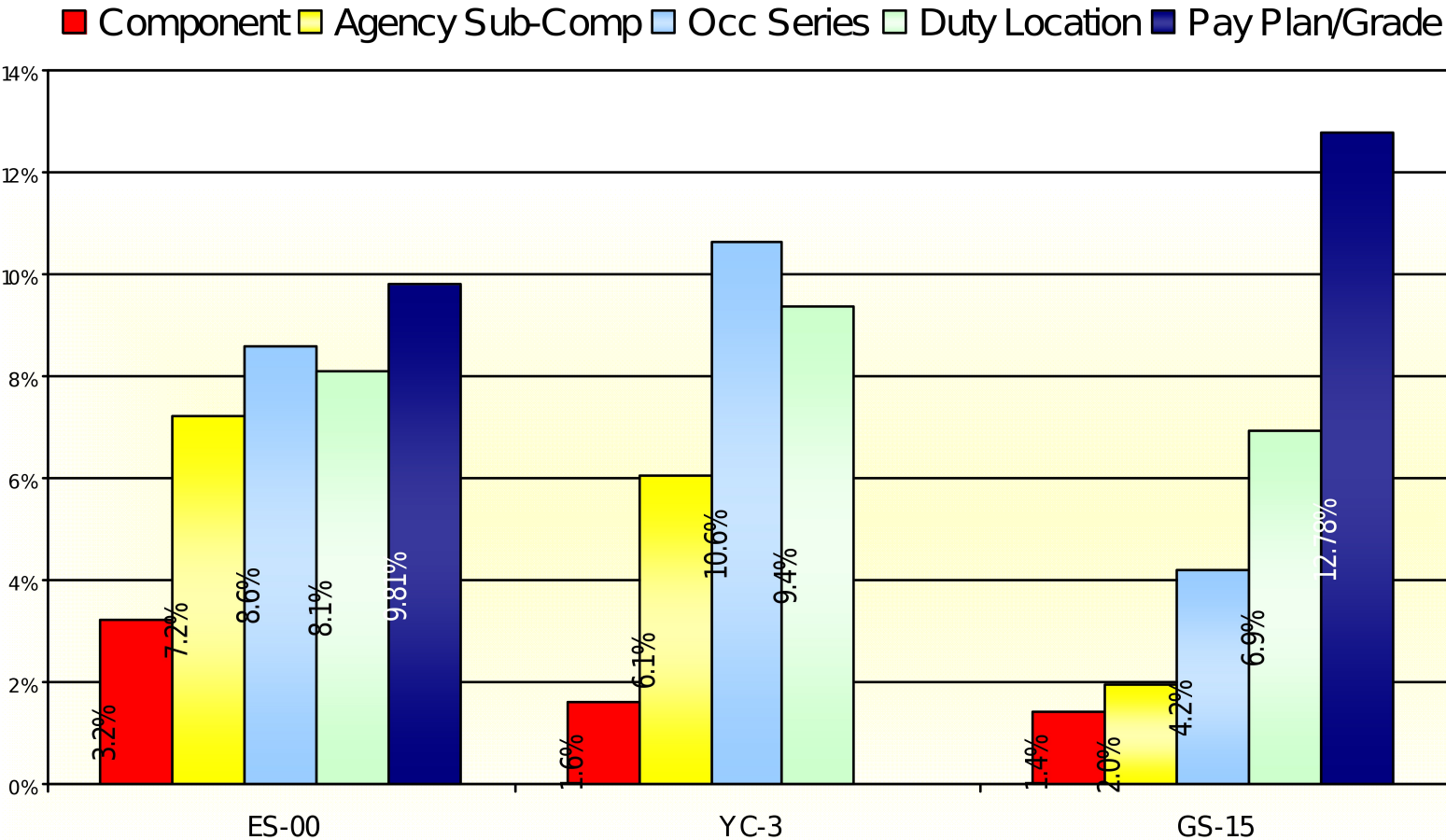


## SELECT HIGH GRADE JOBS (1,875 total Selections)

- > 59.9% or 1,123 of the selections were internal promotions or other grade changes.
- > 13.5% - or 254 were filled via cross sub component grade change (which meets the objectives of Goal 1: World Class Enterprise Leaders).
- > 26.6% - or 498 are New Hires.
  - > 60% of the New Hires (297) were Retired Military.

## Implemented in 2008:

- ❖ Defense Civilian Leader Development Framework & Continuum (competency based model)
- ❖ Defense Senior Leader Development Program, to prepare leaders with an Enterprise-wide Perspective



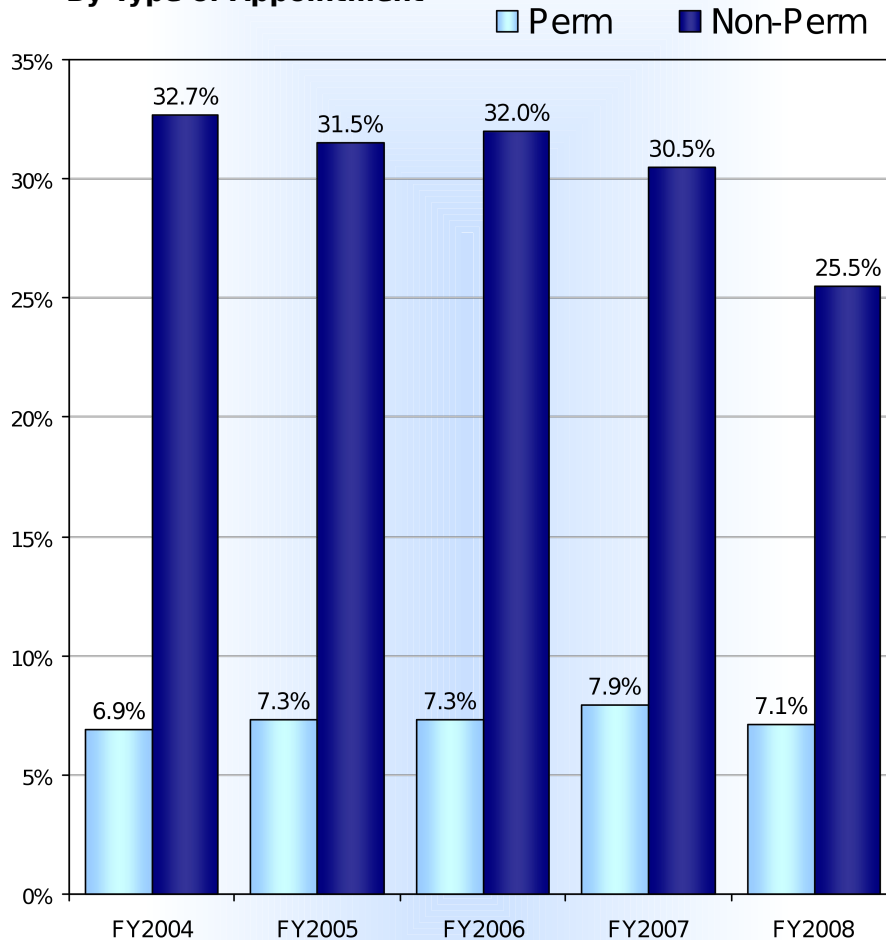
Data ties directly to the DoD Civilian Human Capital Strategic Plan Goal 1: World Class Enterprise Leaders, and the outcome measure "Acceptable rate of internal movement."

DoD Directive 1403.03 (Reference (a)) requires SES leaders to possess the background, ability and skill to lead across organizational and functional boundaries. Excludes FY08 external hires.

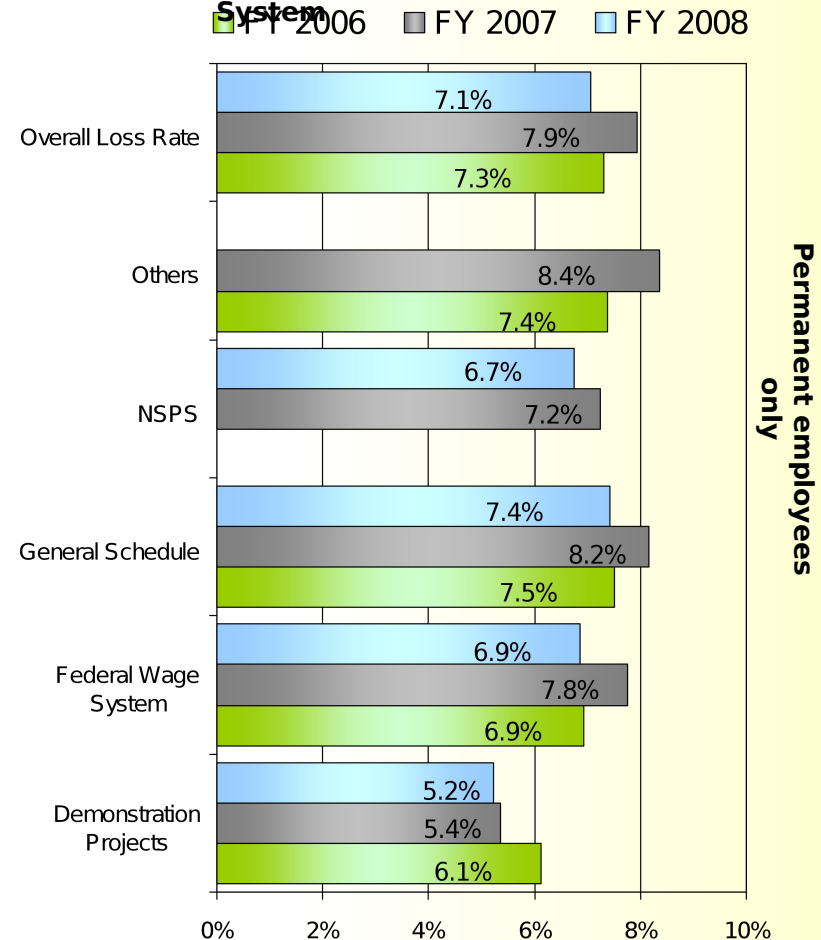
**DESTINATION GRADE/PAY BAND** - where these employees (who were on board end of FY07) were also on board at the end of in FY08.

17.9% of SES, 18.4% of YC-3 and 18.6% of GS15s who were on board end of FY08 had some sort of change within these categories of change in FY08. Some could have had 4 changes at once.

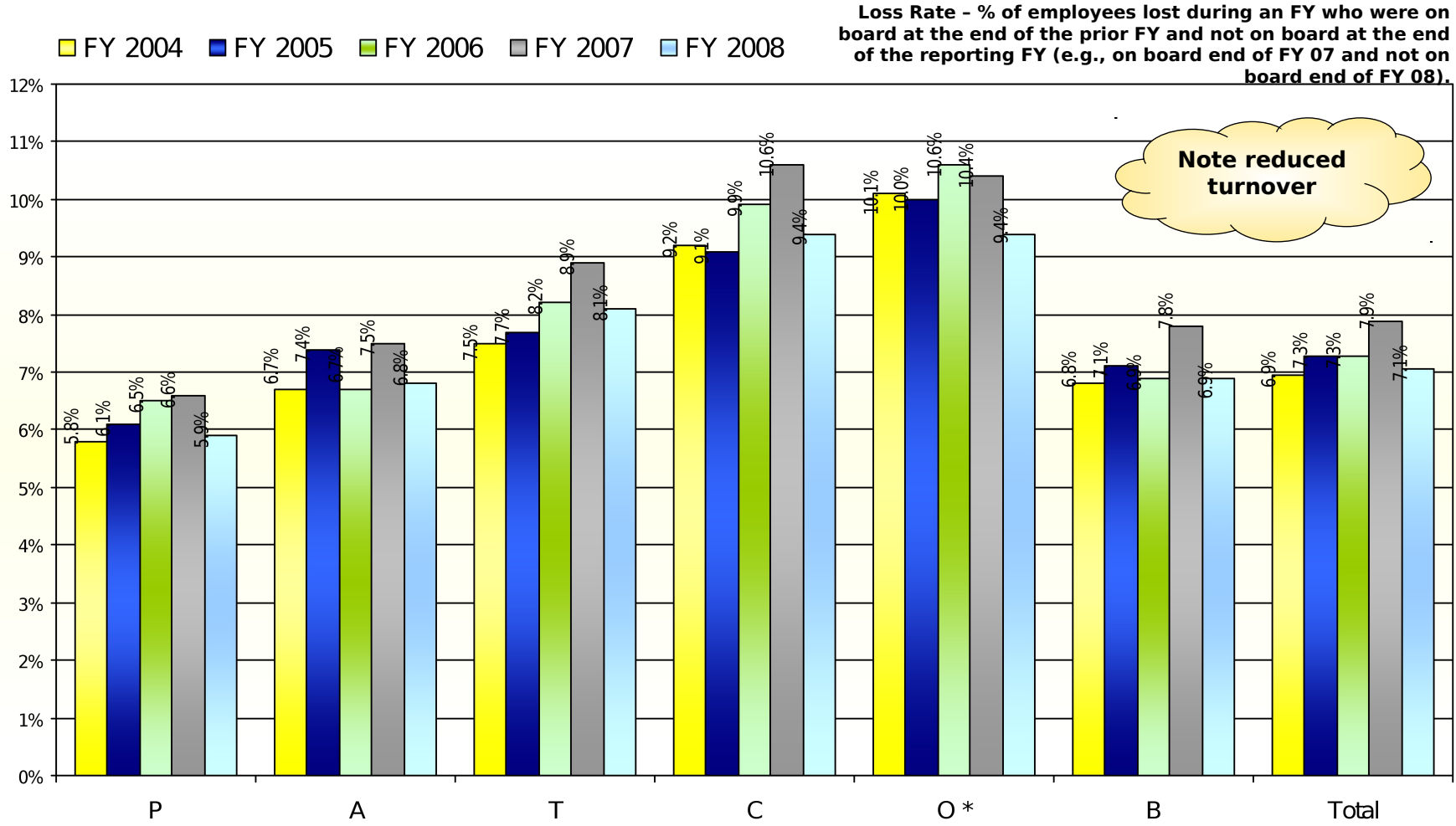
**By Type of Appointment**



**By Pay System**



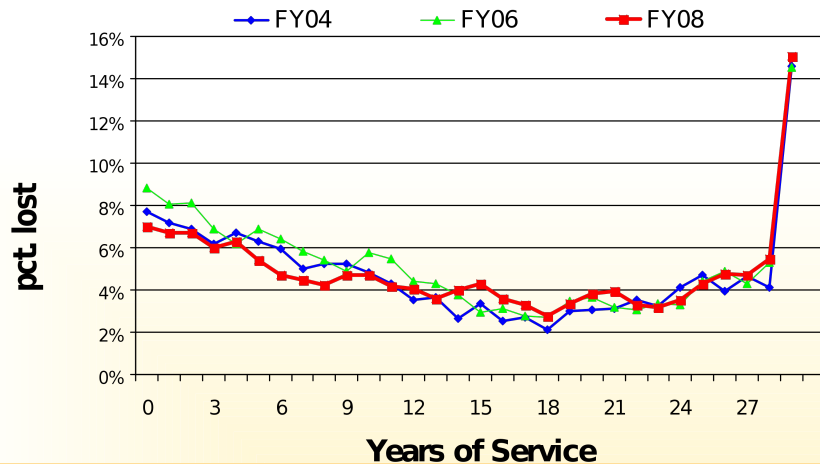




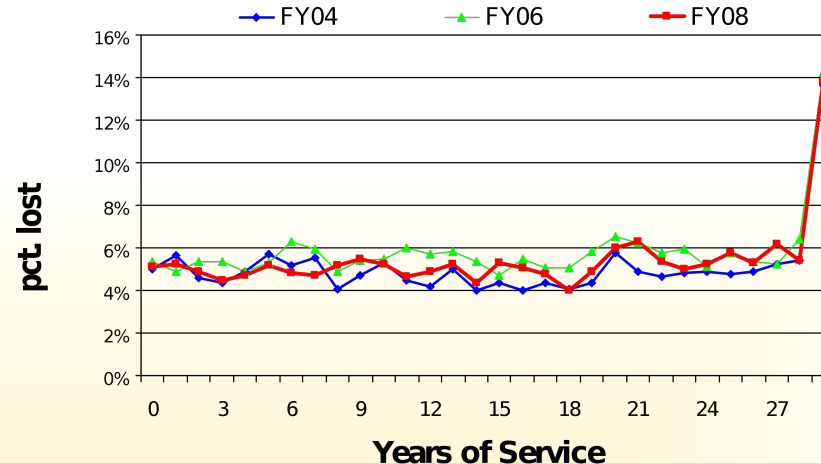
\*Includes Trainees.



## Professional

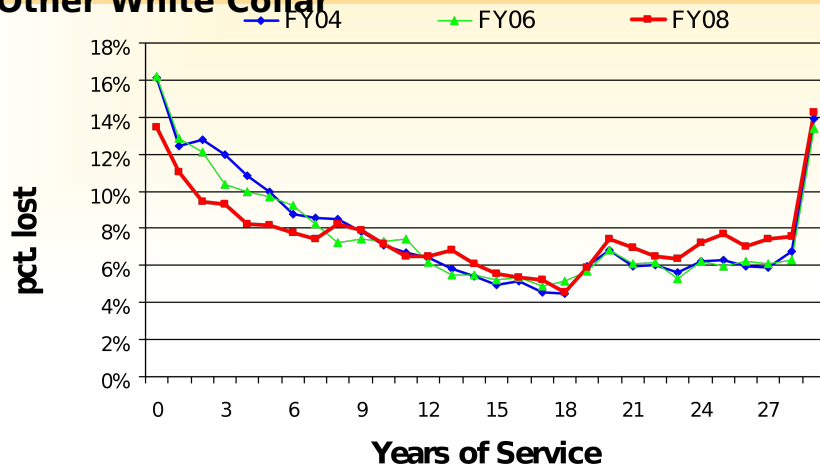


## Administrative

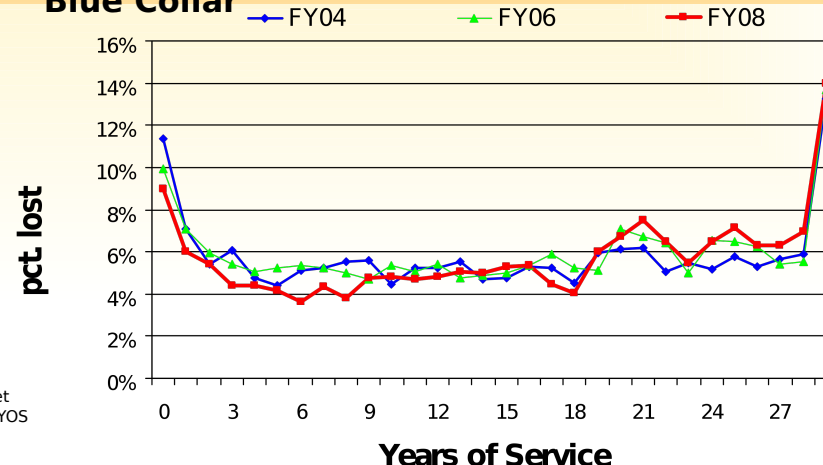


Note the reduced level of early separations of Professional, Other White Collar and Blue Collar employees compared to Administrative employees.

## Other White Collar



## Blue Collar



\* 0 = not yet completed 1<sup>st</sup> YOS

## MISSION CRITICAL

Family	Occupation	Annual Loss Rates, perm employees				
		FY2004	FY2005	FY2006	FY2007	FY2008
Science & Engineering	0801 - General Engineering	5.08%	5.28%	5.60%	5.28%	4.85%
	0810 - Civil Engineering	5.05%	5.31%	5.70%	5.96%	5.16%
	0854 - Computer Engineering	2.80%	3.70%	4.28%	3.48%	3.89%
	0855 - Electronics Engineering	3.87%	4.31%	4.54%	4.48%	4.12%
	1301 - General Physical Science	5.47%	5.36%	6.56%	7.33%	4.15%
	1520 - Mathematics	6.53%	6.25%	7.21%	6.19%	4.73%
	1550 - Computer Science	4.53%	4.87%	5.33%	4.90%	4.54%
Business & Industry	1102 - Contracting	6.43%	6.78%	6.72%	7.53%	6.37%
Finance	0501 - Financial Administration And Program	5.18%	5.99%	6.54%	6.88%	7.14%
	0510 - Accounting	5.85%	7.24%	8.42%	9.06%	9.06%
	0511 - Auditing	7.21%	8.17%	9.91%	9.13%	8.33%
	0560 - Budget Analysis	5.81%	5.88%	6.69%	6.68%	6.28%
Information Technology	2210 - Information Technology Management	6.90%	6.33%	6.42%	7.87%	6.67%
Human Resources	0201 - Personnel Management	7.73%	7.27%	7.45%	8.73%	6.84%
International Programs	0130 - Foreign Affairs	9.04%	8.08%	8.46%	4.42%	7.00%
	0131 - International Relations	2.73%	6.31%	5.61%	9.09%	2.65%
	1040 - Language Specialist	6.67%	7.32%	10.17%	10.00%	3.67%
Logistics	0346 - Logistics Management	5.97%	5.93%	6.81%	6.86%	5.68%
	1910 - Quality Assurance	6.19%	5.71%	6.49%	7.47%	7.05%

80% of the Acquisition workforce is included in MCO.

S&E=9% of Total Civ. Pop.

Factoid:  
Only 36% of sci. & eng.'s stated they planned to look for another job in the coming year, compared to 42% for total DoD. (2008 8QFS-C)

Factoid:  
16% incr. in # of 130s

FY 08 loss rate assumes employees who were on board end of FY07, and not on board end of FY08.

**MISSION CRITICAL (cont.)**

		Annual Loss Rates, perm employees				
Family	Occupation	FY2004	FY2005	FY2006	FY2007	FY2008
Medical	0602 - Medical Officer	10.06%	10.11%	10.45%	10.14%	9.94%
	0610 - Nurse	14.11%	12.18%	12.58%	11.56%	9.88%
	0660 - Pharmacist	11.51%	12.12%	10.54%	12.27%	10.84%
Security Admin & Intell	0080 - Security Administration	8.16%	9.68%	6.40%	7.67%	6.79%
	0132 - Intelligence	10.79%	7.89%	7.84%	8.68%	16.83%
Protective Services	0083 - Police	9.11%	8.71%	11.00%	10.29%	8.95%

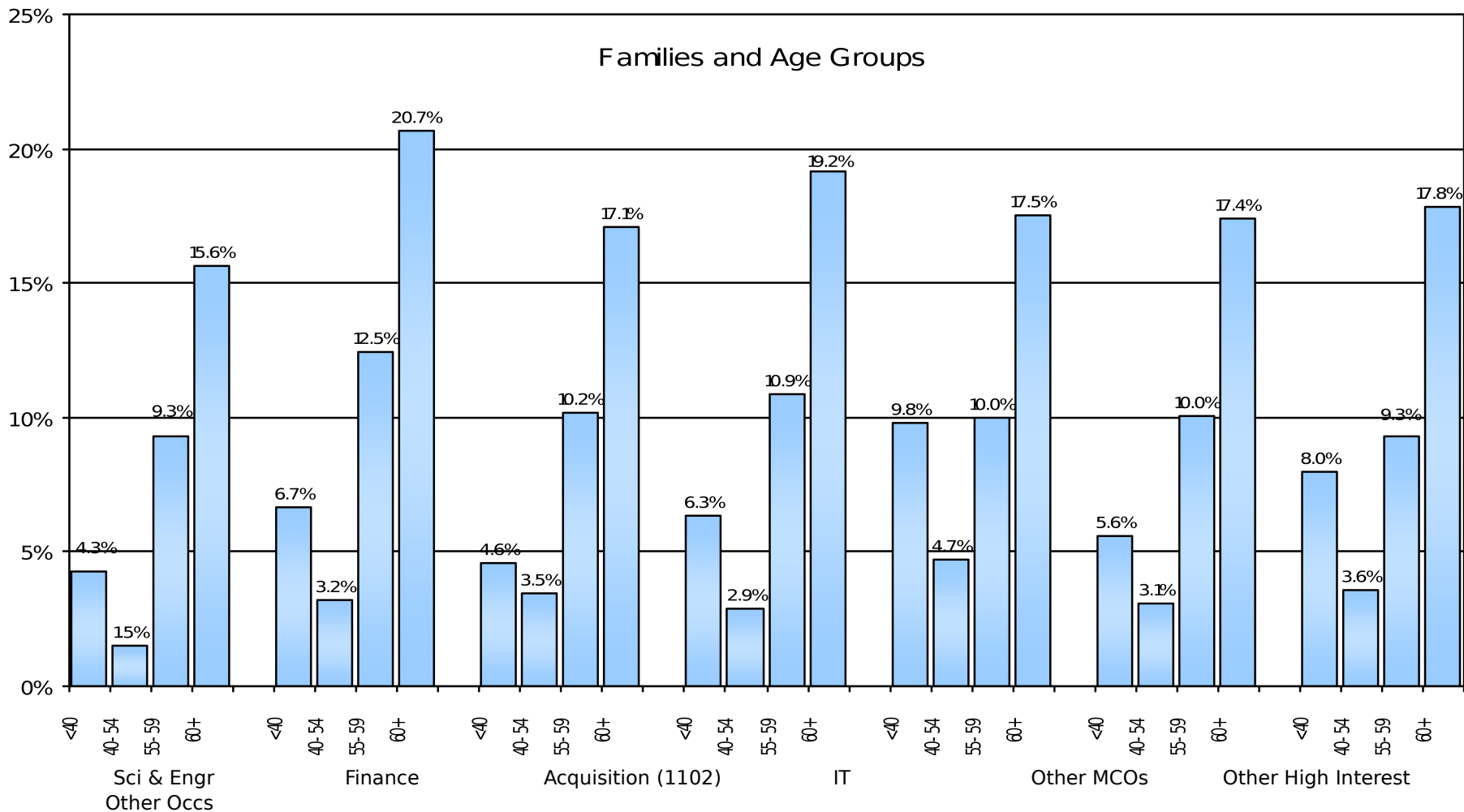
**Factoid:**  
16% incr. in #  
of 0602s &  
13% incr. in #  
of 0610s.

**Factoid:**  
28% of SES are in  
the 0301 Series &  
1% of SES are in  
the 0343 Series.

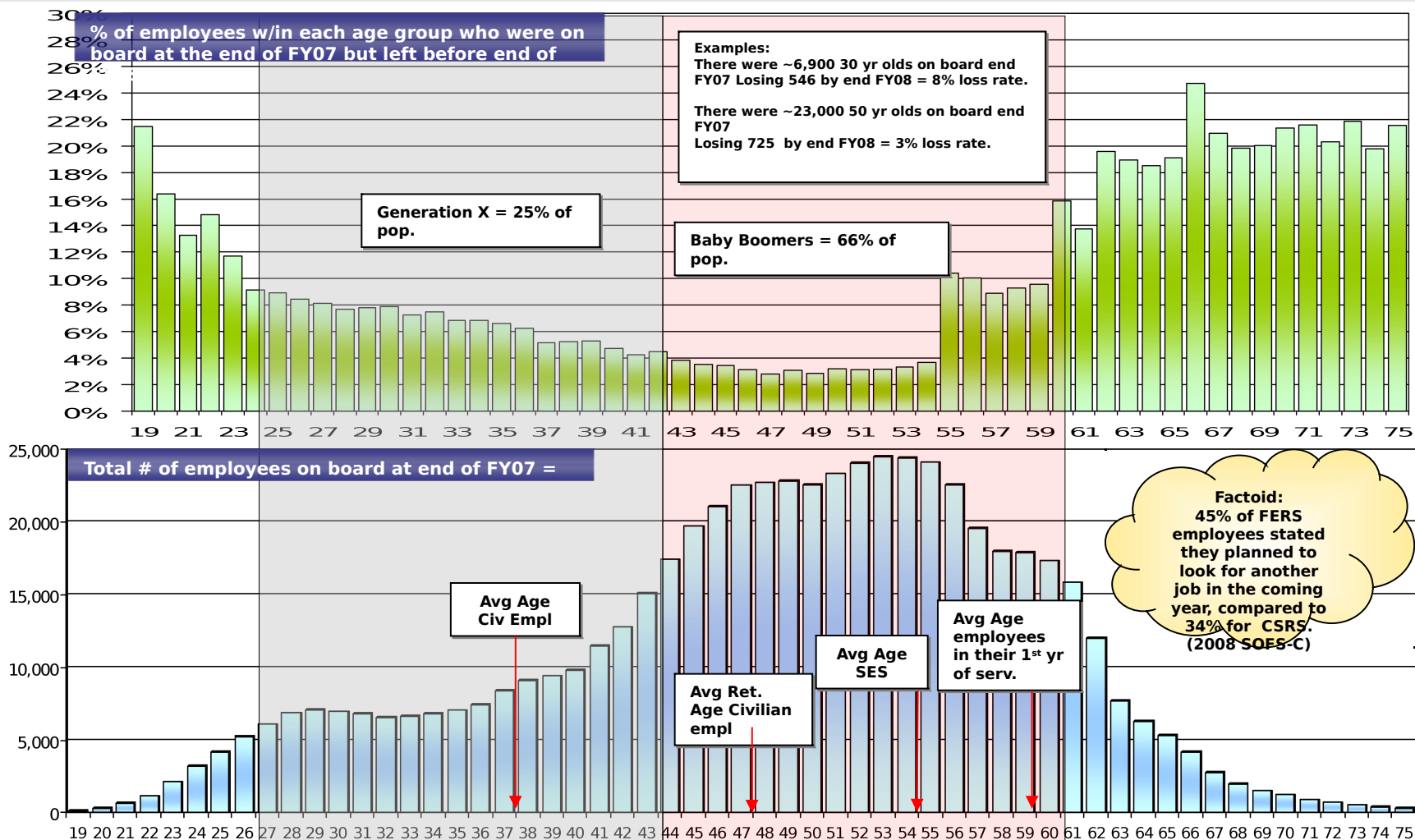
**HIGH INTEREST OCCUPATIONS**

Family	Occupation	FY2004	FY2005	FY2006	FY2007	FY2008
Business & Industry	1101 - General Business And Industry	6.94%	7.53%	6.13%	7.75%	7.77%
Cross-Cutting Series	0301 - Miscellaneous Administration & Program	6.87%	6.57%	6.76%	7.23%	6.47%
	0343 - Management And Program Analysis	6.61%	6.47%	6.71%	7.31%	6.34%
Education & Training	1701 - General Education And Training	7.53%	8.35%	8.73%	8.25%	8.23%
	1712 - Training Instruction	5.55%	7.62%	6.65%	6.80%	5.67%
Logistics	1670 - Equipment Specialist	6.62%	6.78%	6.82%	7.00%	6.53%
Protective Services	0081 - Fire Protection And Prevention	7.33%	7.05%	7.15%	7.75%	6.83%
Science & Engineering	0830 - Mechanical Engineering	3.70%	3.97%	4.22%	4.80%	4.08%

High Interest occupations are large professional or admin single series that deserve attention: (e.g., 0301 has >25,000 employees, Educ./Trng. ~13,000 employees. Some of these are primary sources for cross-flow into the 25 MCOs (e.g., 0830 biggest source for 0801, 1101 for 1102; and 1670 is the 2<sup>nd</sup> largest source for 0346, second to 0301). Factoid Increase/Decrease comparisons look at on board populations beginning of FY07 and beginning of FY08.



Occupations



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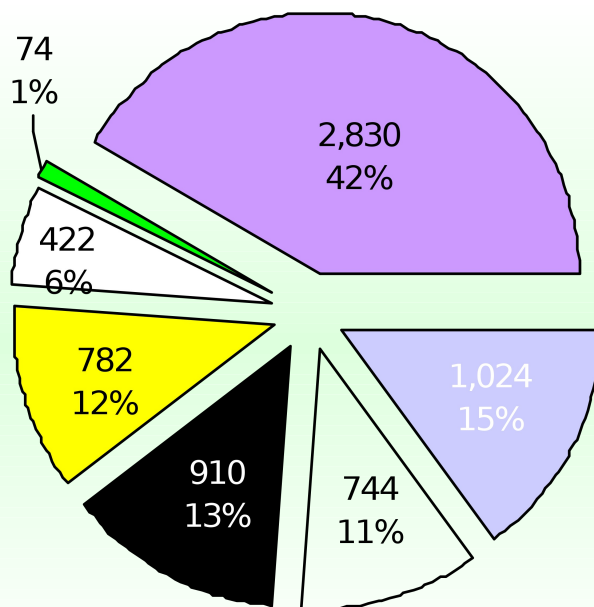
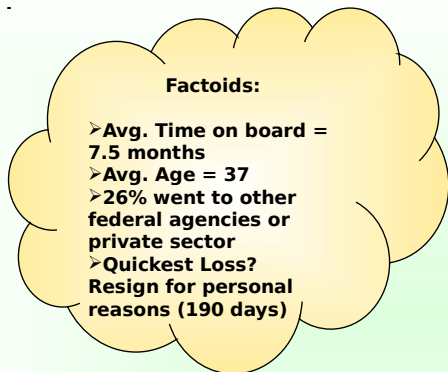
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## Reasons for Separation



**Total Losses = 6,786**

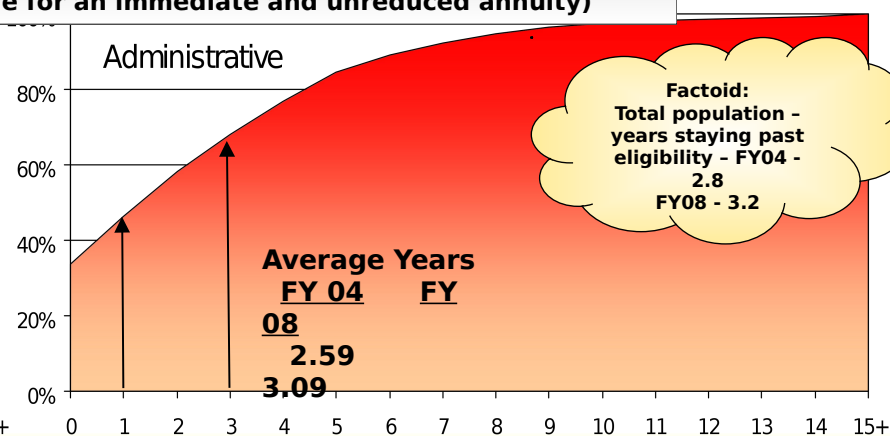
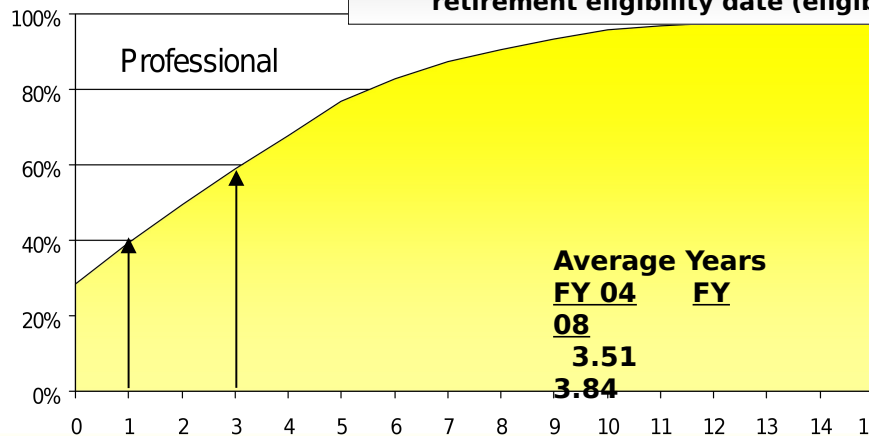
- Other resignations \*
- To another agency
- To private industry
- Resign for personal reasons
- Termination in probationary pd
- Other reasons
- Retirement

\* "Other Resignations" covers multiple reasons, such as "moving out of the area" (9%), "to further education" (8%), "to accompany spouse" (5%), "to enter military service" (3%), "illness in family" (2%), "job not in line with career plans" (2%), etc.

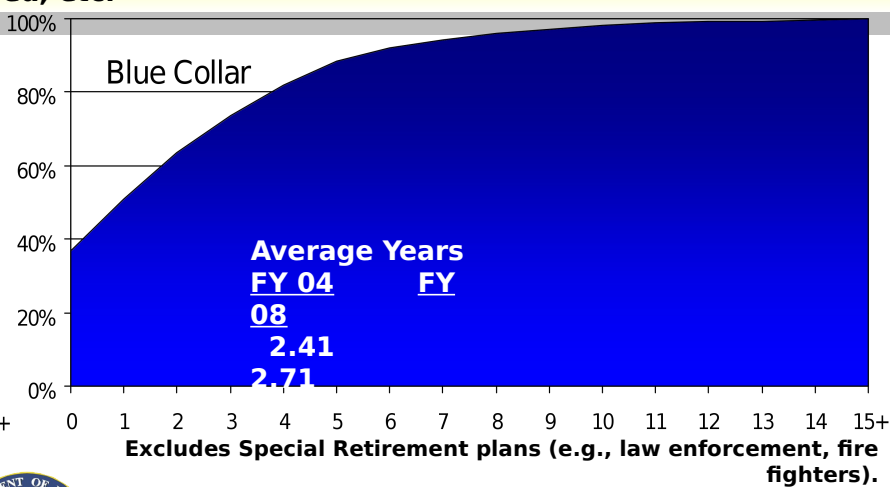
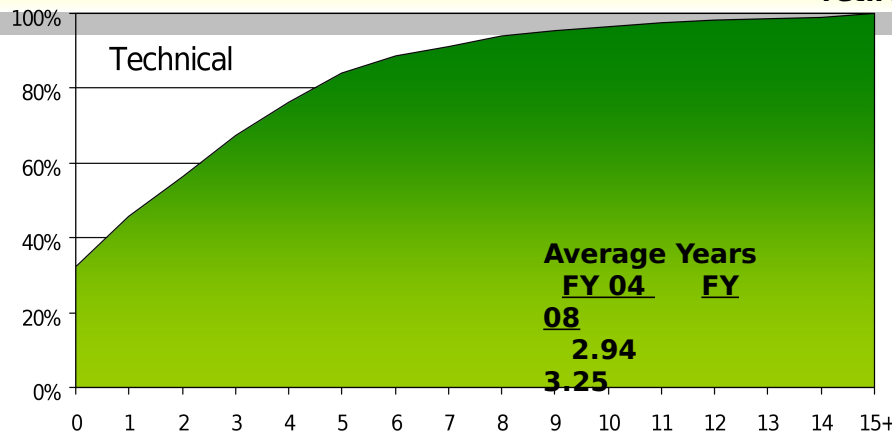
Permanent employees hired in FY 2007/FY 2008 who separated from employment in FY 2008

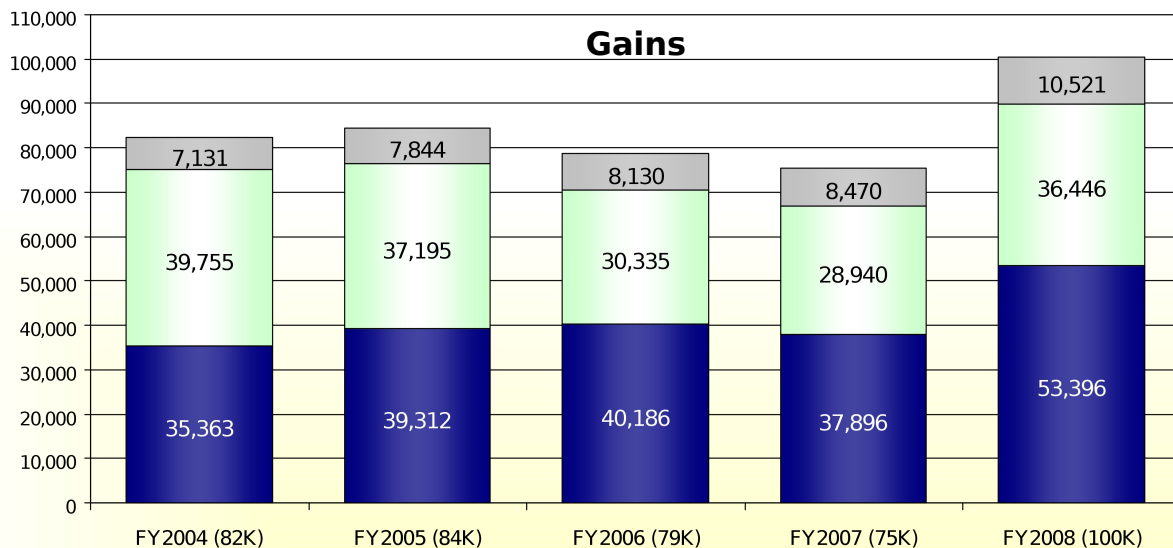


**Propensity to Retire: how long employees stay on-board after their initial optional voluntary retirement eligibility date (eligible for an immediate and unreduced annuity)**



**Note: 0 = employee left in their 1<sup>st</sup> yr. of eligibility. 1 = employee had been eligible for at least 1 yr, but not 2 yrs, when they retired, etc.**





- Others
- Non-Perm Appts
- Permanent Appts

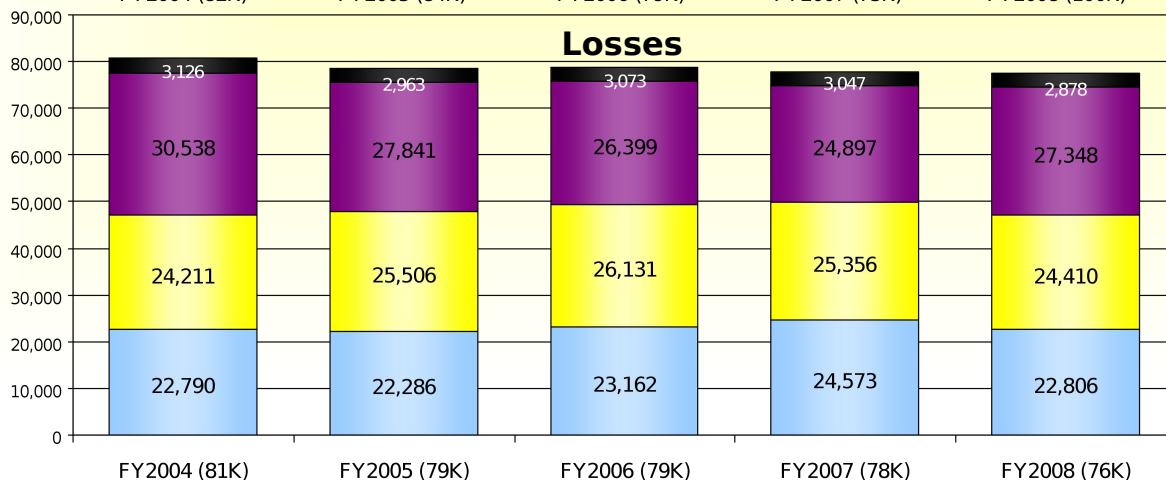
**GAINS**  
Total  
FY 04-08: 421K

5 Yr Avg  
FY 08: 84K/yr.

Permanent:  
67% Competitive,  
24% Excepted,  
8% Veterans'  
Recruitment  
Appointments (VRA)

Non-Permanent:  
71% Excepted

Others =  
Transfers &  
Reinstatements



- Others
- Terminations
- Resignations
- Retirements

**LOSSES**  
Total  
FY 04-08: 392K

5 Yr Avg  
FY 08: 78K/yr.

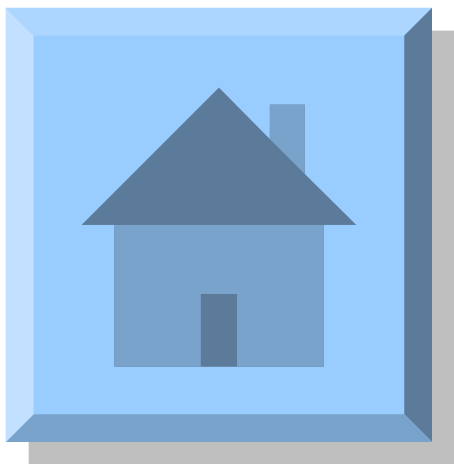
Retirements =  
voluntary, early,  
disability

Terminations =  
Transfers & Expiration of  
Appt

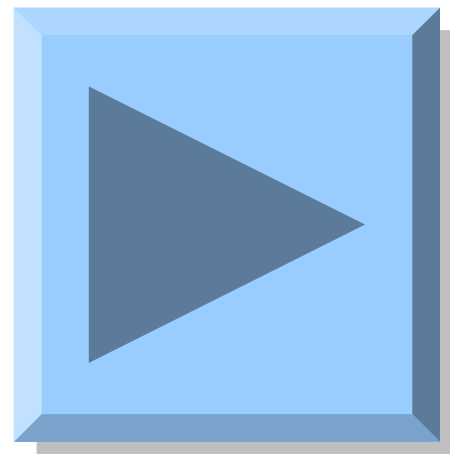
Others =  
Death,  
Removal, RIF.



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# BROCHURES

## BROCHURES

- **DoD Defense Senior Leader Development Program (DSLDP)**
  - **Part 1** **Part 2**
- **Civilian Human Capital Strategic Plan 2006 - 2010**
- **Human Capital Assessment and Accountability Framework (HCAAF)**
  - **Part 1** **Part 2**
- **Getting On Board: A Model for Integrating and Engaging New Employees**
- **First Edition Civilian Human Capital Accountability System (CHCAS)**
  - **Part 1** **Part 2**
- **Understanding the DoD Human Capital Accountability System**
  - **Part 1** **Part 2**
- **Assessing Human Capital Management in the Federal Government**
  - **Part 1** **Part 2**



# BROCHURES

## DoD Defense Senior Leader Development Program (DSLDP) - Part 1

### Joint Leadership in Action

The Defense Senior Leader Development Program (DSLDP) is the Department of Defense (DoD) program to prepare world-class senior civilian leaders who understand and can act strategically to accomplish the evolving national security mission. Through DSLDP, leaders are equipped with the enterprise-wide perspective and competencies needed to lead people and programs, and achieve results in the Joint, interagency, and multi-national environment.

#### DSLDP:

- Is the senior-level component of the DoD civilian leader development process and a key element of the Department's talent management and succession planning strategy
- Is prestigious and highly competitive, with rigorous DoD-wide competition on an annual basis
- Integrates the world-class academic experience of professional military education with unique enterprise-focused training, education, and individual development
- Promotes a hands-on approach to understanding, experiencing, and resolving real-life issues and challenges facing today's leaders across the national security arena
- Provides unparalleled opportunities to learn from and network with a joint cadre of talented leaders from across DoD, noted experts from top ranking universities, and current executives from DoD and other public and private sector organizations
- Enhances one's capabilities and readiness for broad enterprise leadership responsibilities


### For More Information

Visit the DSLDP website at  
[www.cpms.osd.mil/jlidd](http://www.cpms.osd.mil/jlidd)  
for program information, required forms, and additional guidance.

Contact the Joint Leader Development Division, DSLDP Program Office  
at (703) 696-9623  
or e-mail [dsldp@cpms.osd.mil](mailto:dsldp@cpms.osd.mil).


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Civilian Personnel Management Service

[www.cpms.osd.mil/jlidd](http://www.cpms.osd.mil/jlidd)  
703.696.9623  
[dsldp@cpms.osd.mil](mailto:dsldp@cpms.osd.mil)



### Preparing World-Class Civilian Leaders for Enterprise-Wide Challenges

DEPARTMENT OF DEFENSE  
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Defense Senior Leader Development Program



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# BROCHURES

## DoD Defense Senior Leader Development Program (DSLDP) - Part 2

### An Unparalleled Curriculum

To equip participants with the broad perspective, insights, and competencies required to lead the Department into the future, DSLDP combines education, training, and individual development with real-world experiences for an unparalleled and challenging curriculum directly relevant to the Department's current and future challenges.

#### Professional Military Education (PME)

Senior-level PME prepares participants to assume broader responsibility, expands knowledge of the national security mission, and strengthens understanding of complex challenges faced by senior DoD officials. DSLDP participants will attend PME at a different Component's Senior Service School or the National Defense University to further strengthen the enterprise-wide perspective.

#### Defense-Focused Leadership Seminars

Emphasizing critical issues facing the Department today, the seminars are built on a framework of public policy, public/business administration, and international relations, and are broadly aligned with the Executive Core Qualifications. Each seminar blends real-world learning with best practices and hands-on problem solving experiences through interface with senior Defense officials and leading experts from academia and the public and private sectors.

#### Individual Development

Feedback from senior advisers and formal assessments will pinpoint where additional development is warranted to strengthen specific skills. Tailored opportunities, such as additional training, education or assignments, needed to further strengthen the enterprise perspective will be outlined in each participant's individual development plan.

### DoD's Best and Brightest

DSLDP is designed for full-time civilian leaders in Pay Band 3 of the National Security Personnel System, grades GS-14/15 or equivalent, who represent the best the Department has to offer – those currently leading high-performing organizations and programs with the potential to assume even greater responsibility across the enterprise within the next few years. Candidates must possess a baccalaureate degree from an accredited institution.

#### A prime candidate for DSLDP will have:

- Demonstrated the competence, confidence, and motivation to be a bold and innovative leader
- An outstanding performance record and have been promoted ahead of his/her peers
- A wide-ranging history of experience leading to increased responsibility and broad perspectives
- A commitment to public service and the passion to lead, inspire, and produce results for DoD

### Involvement of Defense Executives

Growing the leadership talent for the Department is a critical responsibility of each current leader. DSLDP offers many opportunities for DoD executives to participate in the development of future leaders. Current top leaders will be asked to:

- Nominate only the best and brightest for selection into DSLDP. Your investment now in these key individuals will produce significant short- and long-term benefits to your activity, Component, and DoD
- Make the best use of participants' talents by providing opportunities for varied experiences with increasing levels of responsibility

- Provide meaningful and honest feedback to participants on competency strengths and gaps
- Support the participant's developmental plan and arrange for a temporary replacement for periods when the participant is in long-term training
- Serve as a mentor to DSLDP participants and graduates outside your chain of command
- Seek out DSLDP participants and graduates when filling leadership positions
- Participate, upon request, in DSLDP leadership seminars, selection boards, and advisory panels

### Rigorous Selection Process

The annual DSLDP selection process is designed to be rigorous so that only those with the skills, motivation and commitment to take on more senior leadership responsibilities across the enterprise are selected. Each Component will manage a competitive process to nominate a slate of candidates. Component nominees will participate in a centrally administered assessment center exercise that will provide another measure of their leadership skills. An executive selection board will make final recommendations to OSD leadership for ratification.

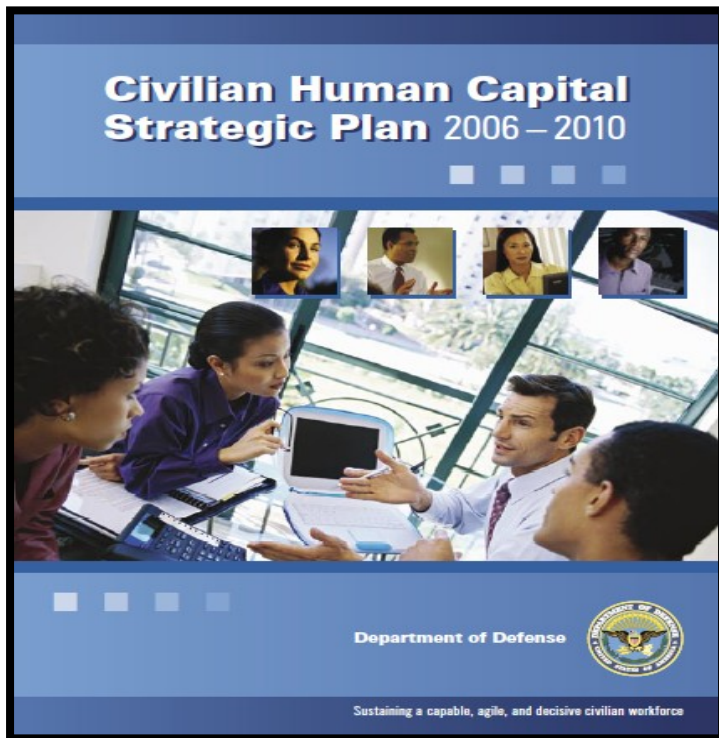


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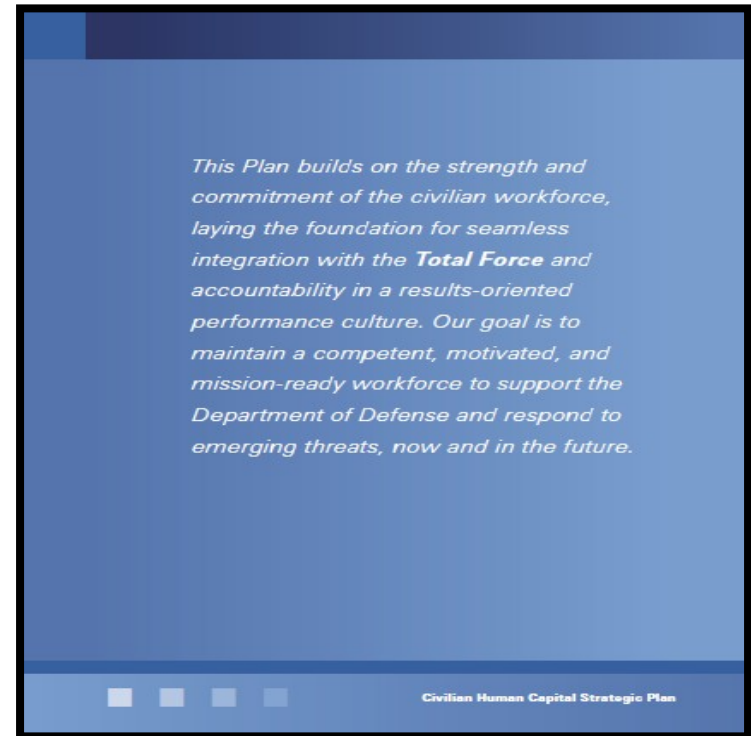
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# BROCHURES

## Civilian Human Capital Strategic Plan 2006 - 2010



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# BROCHURES

## Human Capital Assessment and Accountability Framework (HCAAF) Part 1

differences and responsiveness to the needs of diverse groups of employees.

**Labor/Management Relations:** Cooperation among employees, unions, and managers to enhance effectiveness and efficiency; reduces the number of employee-related disputes; and improves working conditions.

**Applicable Merit System Principles:**

*Employees and applicants for employment should receive fair and equitable treatment in all aspects of personnel management without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition, ....* (5 U.S.C. 2301(b)(2))

*Equal pay should be provided for work of equal value.* (5 U.S.C. 2301(b)(3))

*Employees should be retained on the basis of adequacy of their performance, inadequate performance should be corrected, and employees should be separated who cannot or will not improve their performance to meet required standards.* (5 U.S.C. 2301(b)(6))

**4. Talent Management**

Standard - Agency has made meaningful progression toward closing gaps in skills, knowledge, and competency deficiencies in mission-critical occupations.

**Critical Success Factors:**

**Recruitment:** Aggressive & strategic recruitment programs of diverse/qualified candidates for the workforce.

**Retention:** Leaders, managers, and supervisors create & sustain effective working relationships with employees.

**Applicable Merit System Principles:**

*Recruitment should be from qualified individuals to achieve a work force from all segments of society. Selection and advancement should be determined solely on the basis of relative ability, knowledge and skills, after fair and open competition*

*which assures that all receive equal opportunity.* (5 U.S.C. (2301(b)(1))

*Employees and applicants for employment should receive fair and equitable treatment in all aspects of personnel management without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition, ....* (5 U.S.C. 2301(b)(2))

**5. Accountability**

Standard - HC management decisions are guided by a data-driven, results-oriented planning and accountability system. Results should inform the development of HC goals and objectives, in conjunction with the agency's strategic planning and performance budgets. It contributes to the agencies' practices of effective HC management in accordance with merit system principles and Federal laws, rules, and regulations.

**Critical Success Factor:**

*Inherent within all other HCAAF systems.*

**Applicable Merit System Principle:**

*Employees should maintain high standards of integrity, conduct, and concern for the public interest.* (5 U.S.C. 2301(b)(4))

For additional information contact CPMS/AED at 703-696-3389/DSN 426-3389.  
[http://www.cpmso.dod.mil/aed/aed\\_index.aspx](http://www.cpmso.dod.mil/aed/aed_index.aspx)


To view the DoD CHCSP 2006-2010 go to:  
[http://www.defenselink.mil/home/docs/civilians/trat\\_plan7\\_9.pdf](http://www.defenselink.mil/home/docs/civilians/trat_plan7_9.pdf)

For more information on the OPM HCAAF system go to:  
[http://www.opm.gov/hr\\_practitioners/](http://www.opm.gov/hr_practitioners/)

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# BROCHURES

## Human Capital Assessment and Accountability Framework (HCAAF) Part 2

### **Why Accountability?**

The Office of Personnel Management (OPM) requires agencies to maintain a system for assessing the management of human capital (HC). (5 CFR 250.201)

The Department of Defense (DoD) Civilian Human Capital Accountability System (CHCAS) fulfills this statutory requirement. The DoD CHCAS is designed in accordance with the Human Capital Assessment and Accountability Framework to:

- Measure progress in meeting DoD Civilian Human Capital Strategic Plan (CHCSP) 2006-2010 goals.
- Assess DoD HC policies, programs, and practices.
- Assess individual organization's compliance with merit system principles.
- Report DoD annual HC achievements and level of compliance with merit system principles.

### **Human Capital Assessment and Accountability Framework (HCAAF)**

- Establishes and defines five human capital systems to provide a single, consistent definition of HC management.
- Fuses HC management to the merit system principles, a cornerstone of the American Civil Service system and provides common metrics.
- Fulfills OPM's mandate under the Chief Human Capital Officers Act of 2002 to design systems and set standards for assessing HC management by Federal agencies.

### **The Five HCAAF Systems**

#### **1. Strategic Alignment**

Standard - HC management strategies are aligned with mission, goals, and organizational objectives and are integrated into its strategic plans, performance plans, and budgets.

### **Critical Success Factors:**

**HC Planning:** HC policies, programs, and practices support the agency's strategic plan.

**Workforce Planning:** HC required to meet organizational goals is identified; competency gaps and strategies to close them are identified; and the organization ensures it is appropriately structured.

**HC Best Practices and Knowledge Sharing:** Agency works with others to share best practices and learn about new developments.

**Human Resources (HR) as Strategic Partner:** HR staff works with managers to develop, implement, and assess HC policies and practices to achieve the organization's shared vision.

### **Applicable Merit System Principle:**

*Work force should be used efficiently and effectively.* (5 U.S.C. 2301(b)(5))

#### **2. Leadership and Knowledge Management**

Standard - Leaders and managers effectively manage people, ensure continuity of leadership, and sustain a learning environment that drives continuous improvement in performance, and provide a means to share critical knowledge across the organization.

### **Critical Success Factors:**

**Leadership Succession Management:** Leadership competencies are identified and objectives and strategies are established to ensure a continuous leadership pipeline.

**Change Management:** Leaders understand how to effectively bring about changes and significant and sustained improvements in performance.

### **Integrity and Inspiring Employee**

**Commitment:** Leaders maintain high standards of honesty and ethics and serve as models for the workforce. Leaders promote teamwork, communicate the organization's shared vision

throughout the organization and seek feedback from employees.

**Continuous Learning:** Leaders foster a learning culture that provides opportunities for continuous development and encourages employee participation. Leaders invest in education, training, and other developmental opportunities to build mission-critical competencies.

**Knowledge Management:** Resources, programs, and tools for knowledge sharing are systematically provided across the organization to support mission accomplishment.

### **Applicable Merit System Principle:**

*Employees should be provided effective education and training in cases in which such education and training would result in better organizational and individual performance.* (5 U.S.C. 2301(b)(7))

#### **3. Results-Oriented Performance Culture**

Standard - A diverse, results-oriented, high-performing workforce and a performance management system exists that differentiates between high and low levels of performance and links individual/team/unit performance to organizational goals and desired results.

### **Critical Success Factors:**

**Communication:** Sharing information and ideas about the organization; eliciting employee feedback and involvement in planning and executing the mission.

**Performance Appraisal:** The process under which performance is reviewed and evaluated.

**Awards:** Recognition and reward of individual or team achievement that contributes to meeting organizational goals or improving the efficiency, effectiveness, and economy of the government.

**Pay-for-Performance:** Links salary levels to individual's overall performance contribution to mission.

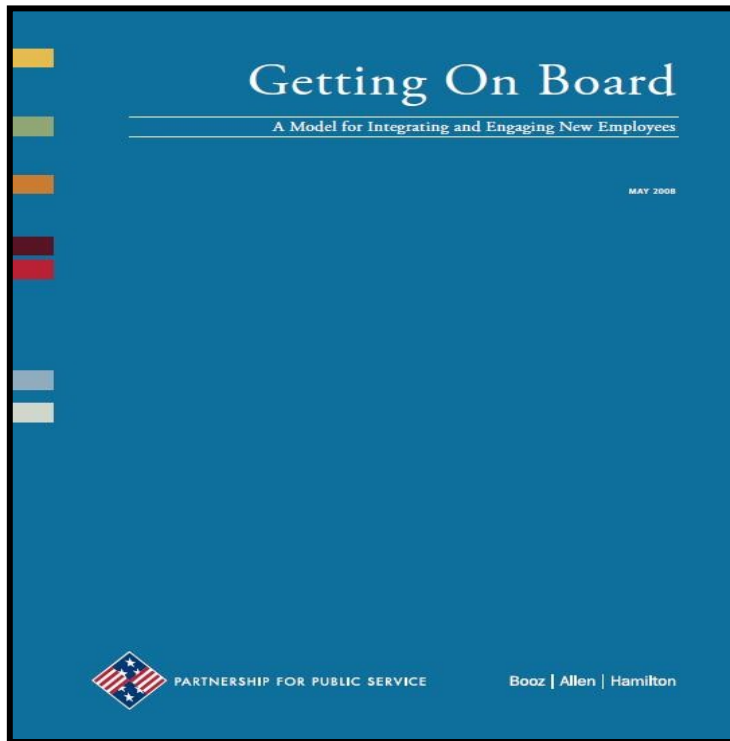
**Diversity Management:** An environment characterized by inclusiveness of individual

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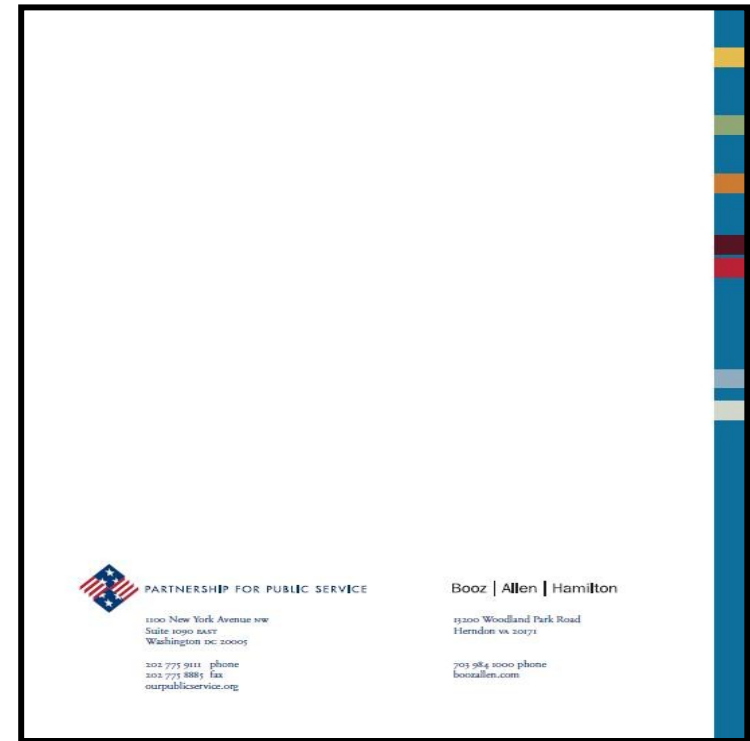
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## Getting On Board: A Model for Integrating and Engaging New Employees



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## First Edition Civilian Human Capital Accountability System (CHCAS) Part 1

**DoD Civilian Human Capital Accountability System**

Activities: Eval's, Program Reviews, Metrics, Survey

Assessing: LKM, Talent, R-O Culture

Reporting: DOD HCMR

Goal Performance, System Change Activities

*"Sustaining a capable, agile, and decisive civilian workforce"*

For additional CHCAS information, contact Civilian Personnel Management Service (CPMS)/Accountability and Evaluation Service (AED) at 703-696-3389/DSN 426-3389.

To read more about CHCAS, goto:  
[http://www.cpms.osd.mil/aed/aed\\_index.aspx](http://www.cpms.osd.mil/aed/aed_index.aspx)

To view the DoD CHC SP 2006-2010, goto:  
<http://www.cpms.osd.mil/ASSETS/A48A22FD8C0347FC4F182758F283A450/DoDCivilianHumanCapitalStrategicPlan2006-2010.pdf>

For more information on OPM HCAAF System and tools, goto:  
[http://www.opm.gov/hr\\_practitioners/](http://www.opm.gov/hr_practitioners/)

DEPARTMENT OF DEFENSE  
**cpms**  
Civilian Personnel Management Service

**Civilian Human Capital Accountability System (CHCAS)**

**Accountability – a Partner in Achieving DOD's 21<sup>st</sup> Century Human Capital Goals**

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## First Edition Civilian Human Capital Accountability System (CHCAS) Part 1

### Why Have An Accountability System?

- Chief Human Capital Officer's (CHCO) Act of 2002 requires the Office of Personnel Management (OPM) to design a human capital (HC) management assessment system.
- OPM requires agencies to maintain an accountability system for assessing and evaluating the management of HC programs. (5 CFR 250.203)
- OPM designed the Human Capital Assessment and Accountability Framework (HCAAF), as the system for agencies to plan, implement, and evaluate HC management results.
- OPM HCAAF consists of five systems:
  - Strategic Alignment
  - Leadership and Knowledge Management
  - Results-Oriented Performance Culture
  - Talent Management
  - Accountability
- The HCAAF five systems have specific standards and critical success factors that serve as tools and measurements for agencies to implement and assess their HC programs.

### What Is DoD's Accountability Role?

The Department of Defense (DoD) Civilian Human Capital Accountability System (CHCAS) fulfills the above statutory requirement.

DoD CHCAS is designed to:

- Measure progress in meeting DoD Civilian Human Capital Strategic Plan (CHCSP) 2006-2010 goals.
- Assess DoD HC policies, programs, and practices.
- Assess individual organization's compliance with merit system principles.
- Report DoD annual HC achievements and level of compliance with merit system principles.

### Civilian Human Capital Strategic Plan Goals (CHCSP)

- World Class Leaders** — *The Department of Defense has diverse civilian leaders who effectively manage people in a joint environment, ensure continuity of leadership, and sustain a learning environment that drives continuous improvement across the enterprise.*
- Mission-Ready Workforce** — *The Department of Defense has a highly capable workforce characterized by agility, flexibility, diversity, and seamless integration with the Total Force.*
- Results-Oriented Performance Culture** — *The Department of Defense has a mission-focused, results-oriented, high-performing culture.*
- Enterprise HR Support** — *The Department of Defense civilian human resources community is strategically aligned and customer-focused, and provides measurable, leading-edge results.*

### What Does CHCAS Do?

The CHCAS evaluates annual HC accomplishments using the OPM HCAAF, serves as the vehicle to demonstrate HC results achieved, promote continuous improvement, and ensure adherence to merit system principles and other laws and regulations. CHCAS activities include:

- Conducting on-site organizational evaluations to ensure compliance with merit system principles and to assess HC programs and practices.
- Reviewing installation accountability metrics programs.
- Developing DoD unique metrics to assess accomplishment of CHCSP goals and objectives.
- Conducting enterprise-wide program reviews; i.e., delegated examining, training, and awards.
- Reporting on OPM's government-wide HC metrics.
- Conducting HC survey analysis to determine perceptions and identify positive areas and areas in need of improvement.
- Showcasing enterprise-wide HC best practices and initiatives.
- Providing senior leaders and evaluated entities with feedback on HC management.
- Holding management accountable for data-driven HC results.
- Submitting to OPM annually the Department's HC Management Report.
- Continuing to revise CHCAS to improve the enterprise-wide accountability system.

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## Understanding the DoD Human Capital Accountability System Part 1

### *Reporting on Accountability*

Regulations require DoD to submit an annual HCM report summarizing annual accomplishment of HC goals and objectives as well as on-going activities that maintain HC accountability throughout DoD.

To read more about DoD's HC accountability system, go to:

[http://www.cpms.osd.mil/aed/aed\\_index.aspx](http://www.cpms.osd.mil/aed/aed_index.aspx)

To view the DoD CHCSP 2006-2010, go to:

<http://www.cpms.osd.mil/ASSETS/A48A22FD8C0347FCAF182758F283A450/DoDCivilianHumanCapitalStrategicPlan2006-2010.pdf>

For more information on OPM's HCAAF System and tools, go to:

[http://www.opm.gov/hr\\_practitioners](http://www.opm.gov/hr_practitioners)

### **For More Information**

Visit the Accountability and Evaluation Division Web site at [www.cpms.osd.mil/aed](http://www.cpms.osd.mil/aed) for program information, required forms, and additional guidance.

Contact the Accountability and Evaluation Division at  
703-696-3389/DSN 426-3389



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### **Understanding the DoD Human Capital Accountability System**

### **A Brief Explanation**



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## Understanding the DoD Human Capital Accountability System Part 2

### *The DoD Business Case for Accountability*

Human capital management (HCM) is a large and growing portion of DoD spending. Federal regulations require an accountability system for assessing HCM throughout all Federal agencies. Figure 1 shows a model of DoD's HC Accountability System.

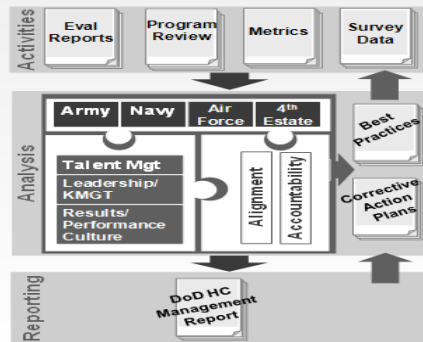


Figure 1

### *The DoD System for assessing Human Capital*

The DoD Civilian Human Capital Accountability System (CHCAS) is designed to fulfill the OPM statutory requirement as well as:

- Measure progress in meeting DoD Civilian Human Capital Strategic Plan (CHCSP) 2006-2010 goals
- Assess DoD HC policies, programs and practices
- Assess individual organizations' compliance with merit system principles
- Report DoD annual HC achievements and level of compliance with merit system principles

The CHCAS is used to evaluate annual HC accomplishments, demonstrate results achieved and promote continuous improvement within the DoD.

To read more about CHCAS go to:  
[http://www.cpms.osd.mil/aed/aed\\_index.aspx](http://www.cpms.osd.mil/aed/aed_index.aspx)

### *Integrating the OPM requirements with DoD strategy*

The DoD Civilian Human Capital Strategic Plan (CHCSP) establishes a set of Department-wide goals and objectives to carry out the strategy for civilian personnel. Figure 2 below illustrates the relationship between the CHCSP goals and OPM Human Capital Assessment and Accountability Framework (HCAAF).



Figure 2

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## ASSESSING HUMAN CAPITAL MANAGEMENT IN THE FEDERAL GOVERNMENT PART 1

### *Meeting the Challenge*

DoD established the Civilian Human Capital Accountability System (CHCAS), which supports a repeatable, sustainable and compliant program for HC accountability.

AED is the office of primary responsibility in administering, tracking and reporting activities under the CHCAS.

The CHCAS:

- Evaluates HC programs and goals;
- Assesses results; and
- Promotes continuous improvement.

All Components, field agencies, activities, and military installations have a role in supporting the SecDef and DoD through the CHCAS.

### For More Information

Visit the Accountability and Evaluation Division Web site at [www.cpms.osd.mil/aed](http://www.cpms.osd.mil/aed) for program information, required forms, and additional guidance.

Contact the Accountability and Evaluation Division at  
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### Assessing Human Capital Management in the Federal Government

A DoD Primer



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## ASSESSING HUMAN CAPITAL MANAGEMENT IN THE FEDERAL GOVERNMENT PART 2

### OPM Background

Developed in 2002, the Human Capital Assessment and Accountability Framework (HCAAF) provides the basis for Federal agencies to assess their Human Capital Management (HCM) initiatives. (5 CFR 250.201)



In 2008 all Federal agencies were directed to align their HCM accountability systems with the HCAAF.

The directive tasks agencies to:

- Develop and maintain efficient and effective HCM programs
- Prepare the HC-related portions of the budget and the performance and accountability report
- Use report results to inform strategic and operational planning and implementation

For more information on the OPM HCAAF system go to: [http://www.opm.gov/hr\\_practitioners](http://www.opm.gov/hr_practitioners)

### DoD Responsibilities

The Secretary of Defense is responsible for three elements under the mandated system:

- Human Capital Accountability System
- Human Capital Plan
- Human Capital Management Report

### Human Capital Accountability System

An on-going assessment of HCM progress and results must:

- Be supported and resourced by agency leadership
- Measure and assess HCM systems;
- Provide for an independent audit process
- Ensure that action is taken to improve HCM programs and processes and to correct deficiencies
- Ensure analysis and reporting of results to DoD leaders and OPM

To view the DoD Civilian Human Capital Strategic Plan 2006-2010 go to: [http://www.defenselink.mil/p/home/docs/civilianstrat\\_plan7\\_9.pdf](http://www.defenselink.mil/p/home/docs/civilianstrat_plan7_9.pdf)

### Maintaining Accountability

#### **Human Capital Plan**

The DoD format integrates OPM requirements with DoD's strategic priorities and is updated on a regular basis. The primary contents include:

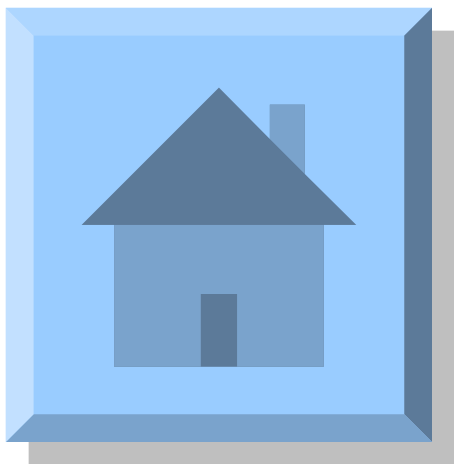
- Human Capital Goals/Objectives
- Workforce Analysis
- Performance Measures/Targets

#### **Human Capital Management Report (HCMR)**

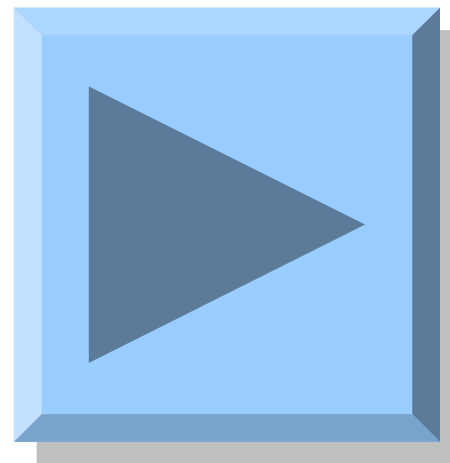
The HCMR fulfills an annual reporting requirement and is intended to be a useful tool. The HCMR:

- Evaluates HCM policies, programs, and operations
- Addresses the HCM performance measures and targets
- Documents corrective actions taken
- Informs the development of human capital goals and objectives
- Informs the use of results in strategic planning and annual performance and budgeting processes

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